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ABSTRACT

The primary purpose of this book it to assist library directors and those who want to become fundraisers for libraries to learn more about fundraising and find answers to their questions. The 12 case studies presented in this book address issues of building a major gift program; developing library capital campaigns; competing for National Endowment for the Humanities Challenge Grants and Kresge Foundation Challenge Grants; building library endowments; finding support for technology and innovation and library renovation; raising funds for a new library; attracting donors through special collections programs; and raising money for international library associations. The book also provides information on the reasons why college and university presidents like to raise money for their libraries. Finally, the book provides an extensive annotated bibliography of the last decades of literature on library fundraising. (AEF)

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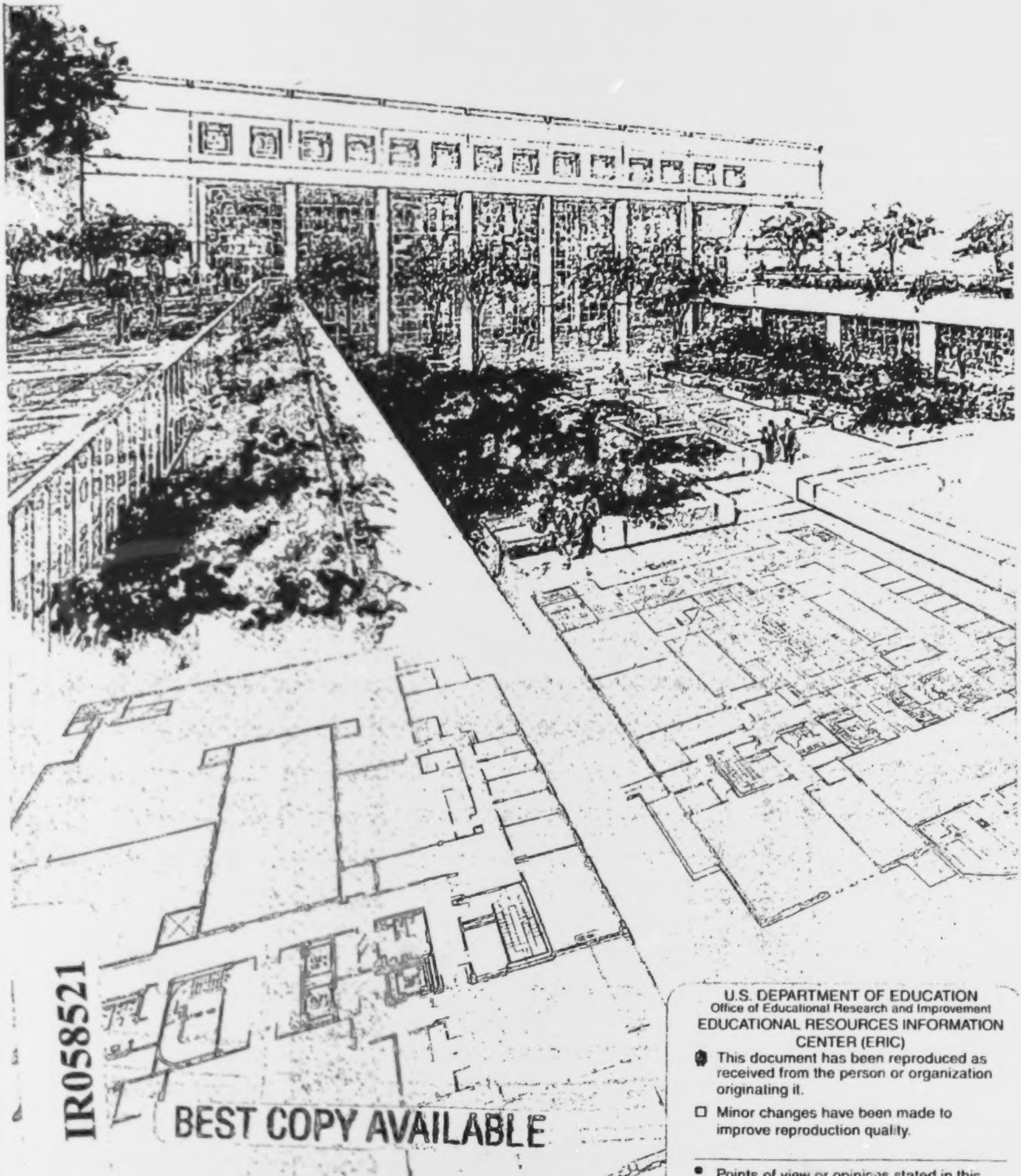
SUCCESSFUL FUNDRAISING:

Case Studies of Academic Libraries

Meredith Butler, Editor



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Successful Fundraising: Case Studies of Academic Libraries
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September 2001

Introduction

Higher education today is a fiercely competitive environment both within our universities and in the wider community where many nonprofit organizations are vying for philanthropic support. For most of our libraries, fundraising has become an absolute necessity and library directors at all types of institutions are expected to be fundraisers. Most of us have learned to be administrators by doing and by observing others doing. We can learn to be fundraisers the same way—by acquiring the knowledge and the skills and practicing our craft. The library director inexperienced in fundraising can learn the principles and practices of fundraising through personal research and reading, talking to experienced administrator colleagues and development professionals, the careful examination of case studies, and hands-on experience. The skills and personal qualities that are necessary to be a successful library administrator are the same skills that are needed to be a successful fundraiser—a clear understanding of your university's priorities and the goals of your library; a strong belief in the value of your library's plans and programs; the ability to articulate your vision for the library; enthusiasm; a readiness to engage people and be interested in what they care about; the ability to listen; persistence; an entrepreneurial spirit; and comfort with risk-taking.

My primary goal in developing this book is to assist library directors and those who want to become fundraisers for libraries to learn more about fundraising and find answers to their questions. There is quite a lot of good information available now in the library professional literature on library development and the principles and practices of fundraising. Although much of the literature covers the same basic information, good advice abounds and anyone who wants to learn more about library fundraising can profit from a modest investment in a few key resources.[1] For those who want to read more widely on the topic, several bibliographies in books and journal articles offer extensive coverage of the literature on library fundraising.[2] Chapter 12 of this book completes this bibliographic coverage and provides an annotated bibliography of the literature on library fundraising to the present.

What is lacking in the literature on library fundraising, however, is a guide to fundraising that offers well developed case studies written by experienced professionals who have embraced a variety of fundraising challenges, met with success, and are willing to share their stories with others.[3] By case studies, I don't mean simply reports on "how we done it good." Rather, I mean compelling stories describing actual events and circumstances, told for the purpose of instructing the reader—stories that reward careful study and analysis.

A good case study presents a comprehensive description of a significant activity or program which can be replicated in other settings. The case is written in a clear and concise fashion to engage and instruct the reader. It provides sufficient detail to identify and analyze the time and place of the setting, the major participants, the issues and problems addressed, the constraints and opportunities faced by the participants, the sources of information consulted, the plan of action that was followed, and the resulting outcomes. Where useful, it proposes alternative strategies and methods, which might have been tried as well, and discusses both successes and failures. A good case study contains complete evidence, comprehensive explanations, and sufficient factual information to assist others to replicate many, if not all, of the particulars of the case in another setting. Finally, a good case offers cogent advice, answers the readers' questions, and provides opportunity for candid analysis and reflection.

As a library administrator new to fundraising and faced with major fundraising responsibilities several years ago, I needed the type of information and guidance I have described above. Failing to find such a resource in the professional literature, and now with some fundraising experiences under my belt, I decided to create this collection of fundraising case studies in the hope that it would provide valuable information to others. My goal is to assist library directors and other librarians who need to raise money for their libraries and want to learn more about how to do it. For example, nearly everyone who writes about fundraising agrees that the primary reason that people don't give is that they have not been asked to give. But how do you ask someone for money? That is the question in the back of every novice fundraiser's mind, and it is the question that occupies experienced fundraisers, as well. The authors of these case studies answer that question in a variety of ways and offer good advice from which both the novice and experienced fundraiser can profit.

As many others have said, the active interest and participation of the library director are essential to fundraising success. This responsibility cannot be delegated. But the responsibilities of the library director as administrator and the library director as fundraiser are really one and the same. In both roles, the library director must be a strong advocate for the library and must work vigorously to increase the library's quality and visibility to internal and external constituents. The director must work with others to identify the library's needs because all fundraising programs begin with the library's needs. But the successful director/fundraiser is someone who can relate the library's needs to the interests and desires of prospective donors. Finally, the successful director/fundraiser must be skilled at networking and cultivating friends, because only through the process of talking to and listening to prospective donors is it possible to learn about their ideas and their dreams and to find a match between the donor's interests and the library's needs. Engaging in such networking and donor cultivation over time is how a library director builds relationships with donors and builds a successful development program for the library. The process is not much more complicated than that, although, as they say, "God is in the details." The details are in the case studies that follow. The reader will benefit from careful study and analysis of them.

The case studies in this book address issues of building a major gift program, developing library capital campaigns, competing for National Endowment for the Humanities Challenge Grants and Kresge Foundation Challenge Grants, building library endowments, finding support for technology and innovation and library renovation, raising funds for a new library, attracting donors through special collections programs, and raising money for international library associations. The book also provides information on the reasons why college and university presidents like to raise money for their libraries. Finally, the book provides an extensive annotated bibliography of the last decades of literature on library fundraising.

For those of you new to fundraising, I hope this book will provide both inspiration and practical advice to assist you as you develop your expertise. For those of you who are experienced fundraisers, I hope this book will enrich your knowledge of fundraising for libraries and generate new ideas for your future fundraising successes.

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[1] Steele,Victoria and Stephen D. Elder. *Becoming a Fundraiser: The Principles and Practice of Library Development.* Chicago, IL: American Library Association, 1992. This is the best general primer on fundraising for libraries. The 2nd edition published in 2000 is essentially unchanged from the 1992 edition.

Burlingame, Dwight F. *Library Development: A Future Imperative.* Special issue of the *Journal of Library Administration* 12, no. 4 (1990). Burlingame provides a comprehensive view of library development and fundraising theory and practice in public and academic libraries.

Corson-Finnerty, Adam and Laura Blanchard. *Fundraising and Friend-Raising on the Web.* Chicago, IL: American Library Association, 1998. The authors provide useful how-to information about using the Web to supplement development activities. Although this type of information is quickly dated, this is a thought-provoking source of good and practical information.

Dewey, Barbara I., ed. *Raising Money for Academic and Research Libraries.* New York: Neal-Schuman, 1991. Experienced development authors provide sound information on the process of library fundraising from creating a fundraising plan to hiring a development officer.

Lee, Hwa-Wei and Gary A. Hunt. *Fundraising for the 1990s: The Challenge Ahead.* Canfield, OH: Genaway & Associates, 1992. A practical guide to library fundraising for novice to expert, this book includes two case studies of interest to academic library directors.

Lee, Sul H. *Library Fundraising: Vital Margin for Excellence.* Ann Arbor, MI: Pierian Press, 1984. Though now dated, this was the first collection of essays that focused on the theoretical and philosophical approaches to library fundraising and development to appear in the library literature.

Martin, Susan K. "The Changing Role of the Library Director: Fundraising and the Academic Library." *Journal of Academic Librarianship* 24, no. 1 (1998): 3–10. A veteran director and library fundraiser describes the role and responsibilities of the director in library fundraising and offers sage advice about setting priorities and delegating responsibilities to accommodate competing demands.

Martin, Susan K., ed. "A Special Issue on Development and Fund-Raising Initiatives." *Library Trends* 48, no. 3 (Winter 2000). This special issue of *Library Trends* offers excellent coverage of the principles and practices of library development. It looks at the distinctions between development activities in academic and public libraries and infers some trends for the future. The collection includes articles on the organization, process and politics of fundraising, results of development surveys, annual fund programs for libraries, friends groups, philosophy of public relations, public library entrepreneurs, and cybergifts.

[2] Hayes, Sherman. "Fund Raising: A Brief Bibliography." In: *Library Development: A Future Imperative.* Ed. Dwight F. Burlingame. Special issue of the *Journal of Library Administration* 12, no. 4 (1990): 135–52. Extensive bibliography of fundraising literature focused on the 1980s.

Atlas, Michael C. "Development in Academic Libraries: A Review of the Literature." *Journal of Academic Librarianship* 20, no. 2 (1994): 63–70. A comprehensive review of journal and monographic literature on library fundraising through 1993.

Hood, Joan M. "Past, Present, and Future of Library Development (Fund-Raising)." *Advances in Librarianship* 22 (1998): 123–39. Provides a selective review of some key literature on library fundraising of the 1980s and 1990s.

Alexander, Johanna O. "Fundraising for the Evolving Academic Library: the Strategic Small Shop Advantage." *Journal of Academic Librarianship* 24, no. 2 (1998): 131–38. Contains approximately 50 references to library fundraising literature.

[3] The following sources contain examples of fundraising cases, though only one author (Janet Wilkinson) provides an instructional and reasonably complete case study as I have defined the term. Most of these cases are also quite dated.

American Library Association. *Success Stories. How 15 Libraries Raised Money and Public Awareness.* Chicago: American Library Association, 1983. This booklet provides brief snapshots of the fundraising projects of the 15 library nominees for the Gale Research Companies' first Financial Development Award given in 1983. One project is from an academic library (Oakland University). The rest are from public libraries or library systems.

Burlingame, Dwight F., ed. *Library Fundraising Models for Success.* Chicago: American Library Association, 1995. This book provides seven case studies on fundraising, three of which describe fundraising programs in university libraries. Of these, only the chapter on the 1987 Johns Hopkins NEH Challenge Grant provides a sufficient level of detail to be considered a developed case study. One chapter discusses the fundraising done over several decades to build a collection endowment at the library of Davidson College.

Dolnick, Sandra, ed. *Fundraising for Nonprofit Institutions. Foundations in Library and Information Science.* Greenwich, CT: JAI Press, 1987. This book offers nine studies on fundraising in nonprofit organizations. Two cases discuss different aspects of preparing for public library fundraising. One chapter focuses on fundraising for a research library. This chapter is by Joan Hood and describes in general detail her early fundraising work at the University of Illinois libraries.

Lee, Sul H., ed. *Library Fund-Raising Vital Margin for Excellence.* Ann Arbor, MI: Pierian Press, 1984. Three studies discuss the principles, theory, and practice of fundraising in academic settings, though none is a detailed case study of a fundraising program.

Lee, Hwa-Wei and Gary A. Hunt. *Fundraising for the 1990s: The Challenge Ahead. A Practical Guide for Library Fundraising from Novice to Expert.* Canfield, OH: Genaway & Associates, 1992. This book contains two useful case studies. Paul Willis discusses the campaign at the University of Kentucky to raise $20 million dollars for a new library building. Bessie Hahn describes the goals and activities of the Brandeis University Women's Committee, which is a key partner in library development.

Wilkinson, Janet. "Fundraising for University Library Development: The Case of the London School of Economics." *New Review of Academic Librarianship* 4 (1998): 133–46. The author describes efforts from 1993 to 1998 to raise 12 million British pounds for an extensive renovation of the London School of Economics library building. British fundraising experiences are compared to North American academic libraries' experiences. This is an actual case study and provides good information, some of it useful to North American library administrators.

About the Case Studies

Robert R. Ashton discusses the importance of studying the gift pyramid of donors as the foundation of any organized library fundraising program. He emphasizes that the strategic goal of any fundraiser is to maximize the number of persons in the donor base and to move donors from the base of the pyramid to a point as high as their capacity and interest will take them. Serendipity and unexpected large gifts play a part in fundraising, but strategic planning, careful management, and good stewardship are the essential elements of building a good library fundraising program over time. Ashton stresses that the communications backdrop is essential to all fundraising efforts because that is how the base of potential donors gets built. The most important calculation when growing a fundraising program is where to apply one's limited resources. Ashton offers sage advice about creating annual fund gift clubs as vehicles to move library donors up the pyramid of gifts. He suggests techniques that have proven to be effective for building gift clubs and "walks the reader through" the process from special event to follow-up solicitation telephone calls. Finally, Ashton provides library fundraisers with six keys to success for raising money through annual fund library gift clubs.

In her case study, **Paula T. Kaufman** tells the story of the Tennessee Imperative—a library fundraising campaign begun in the late 1980s by the University of Tennessee. The university launched a $6 million major fundraising campaign to enhance its University Libraries. The Tennessee Imperative broke new ground for raising money for the libraries of a public university. Kaufman tells of her arrival at the University of Tennessee as the new director in August 1988, when the Tennessee Imperative was in its "silent phase," and her rapid immersion into fundraising. Although an inexperienced fundraiser at the time, she was quickly caught up in soliciting major donors, developing a close partnership between athletics and the library, and creating Tennessee's first Friends of the Libraries group. She shares some fundraising successes and failures with the reader. By 1991, the Tennessee Imperative had far surpassed its original fundraising goal. The campaign raised $8.75 million for the University Libraries in a little over four years.

Under **Merrily E. Taylor's** leadership as university librarian, Brown University Library embarked on a National Endowment for the Humanities (NEH) Challenge Grant campaign to raise funds for its preservation program. Preservation had been one of three major areas of emphasis for the library in the university's campaign, but its goal of $3 million was not met. The NEH Challenge Grant was both felicitous and timely. The success of two previous NEH Challenge Grants proved that is was possible to raise serious money for Brown's library. The Challenge Grant campaign also guaranteed the attention of the president, the provost, and the central development staff and provided access to the institution's most important donors—all essential ingredients for major fundraising. Taylor details the grant application process and underscores the delicacy of relationship building and partnership with the University Development Office. She then reviews the extraordinary amount of work that was involved once the NEH Challenge Grant was awarded. Ideas for fundraising had to be constantly vetted, strategies for cultivation had to be negotiated, tactics had to be determined, and responsibilities assigned. Taylor discusses several innovative ideas that were used to attract major donors, stresses the importance of quality publications and special events, and talks about the variety of ways that Brown University Library staff have acknowledged NEH support both during and after the fundraising effort. Taylor closes her case study with a discussion of the lasting impact that the NEH Challenge for Preservation has had on the Brown University Library.

Meredith A. Butler tells the story of how she, with no prior experience in fundraising, and the development staff of an institution with no prior experience in raising large sums of money for its libraries, launched an ambitious $3.5 million Campaign for the Libraries using a Kresge Foundation Challenge Grant as the centerpiece of the campaign. They brought the campaign to a successful conclusion in 18 months, exceeding the original fundraising goal by more than $302,000. The Kresge Foundation is one of the very few foundations that provide funds for capital construction projects and one of the very few funders of any type that supports libraries in publicly funded universities. Butler details the application process, the challenge grant qualifying process, and the actions taken to develop the library campaign infrastructure. She emphasizes the importance of a few major gifts to bolster the initial stages of the campaign and describes the arduous work of attracting countless smaller gifts from all types of donors. Butler tells what she learned about fundraising in the process of doing it, and what she learned about herself. She also writes about the long-term positive benefits of the campaign for the University Libraries.

Paul A. Willis and **Paula L. Pope** tell the extraordinary story of the fundraising success and the principles and practices that led to a $62 million endowment. In 1989, Toyota made a $1 million gift to the University of Kentucky Libraries to create a book endowment. The following year, the libraries received a $750,000 National Endowment for the Humanities (NEH) Challenge Grant. Library friends, John and Joan Gaines, sponsored a kick-off dinner for the NEH Challenge Grant Campaign in 1990 and, through this involvement, Mr. Gaines learned of the university's need for a new library building. A new university president, Charles T. Wethington, Jr., made a new library the university's top fundraising priority and co-chaired, with John Gaines, a library campaign that gave donors the opportunity to give to the building or the endowment. Toyota gave a second million-dollar gift for the building in 1990, and, in 2000, gave yet a third million-dollar gift to the book endowment. Over $24 million was raised in the library campaign ($12 million went toward the building and the remainder to the book endowment). Local businessman and horseman, William T. Young, for whom the 360,000-square-foot, $58-million building was named, announced at the building dedication, in April 1998, that he would lead a drive to increase the book endowment. Because of Mr. Young's efforts, UK's endowment now totals $62 million and has an ultimate goal of $120 million. The full story of this extraordinary fundraising success is detailed in this case study.

In her case study, "Damnit! How can you have a great university without a great library?" Building Endowment Support for Technology and Innovation, **Janet McCue** tells the story of the $4 million library campaign to build endowment and support technology and innovation. The campaign, which was undertaken from 1997 to 1999, was a great success. As a novice director, McCue had no prior fundraising experience. She arrived at Cornell University six months into the Mann Library campaign. Competing for priority status and access to donors within a complex organizational structure, the Mann Library had to struggle for access to major donors. The campaign was richly staffed and blessed with superb volunteer and staff leadership. McCue provides interesting details about all aspects of the campaign and identifies what was necessary to bring it to its successful conclusion. She also discusses donor cultivation and stewardship activities.

Claudia J. Morner tells the story of a three-year fundraising effort to supplement a state-funded library renovation project at the University of New Hampshire. The need for private support became apparent when Morner, as the new university librarian, realized that the budget she was working with was insufficient to accomplish the project. She faced a major fundraising challenge because a new hockey arena—not a new library—was the fundraising priority for the new UNH Foundation. Nevertheless, she set out in a deliberate way to forge relationships with all players on campus and pushed ahead despite numerous obstacles. She made a number of mistakes and learned valuable lessons as she attempted to gather support for her fundraising needs. The keys to the project's ultimate success were Morner's perseverance and a new university president, who made the library a fundraising priority. Only when the project was complete and widely viewed as the most important building on campus did Morner realize the long-term importance that fundraising for a library renovation project could have for the future success of fundraising university-wide.

Catherine Quinlan draws on her considerable experience in library fundraising and development to discuss the library's role in the capital campaign. Her experience has taught her that the library can be a crucial element in any fundraising campaign. However, developing the donor base that will support the library and its endeavors can be a considerable challenge. Without its own graduates and facing competition from other units on campus, the library must strategically identify those groups of prospects and donors that are uniquely interested in it, as well as those interested in supporting the overall university. Quinlan describes some methods she has used over the past 15 years to develop and sustain a donor base for the library in several academic research library settings. She offers sage advice on the importance of stewardship.

As Vice Provost and Dean of Libraries and Information Systems at the University of South Carolina, **George D. Terry** built a successful fundraising program on the library's rich tradition of developing special collections. His case discusses the library's need to increase visibility, to highlight the library's role in the educational mission of the university, and to raise additional financial support. He and his staff developed a friend-raising and fundraising strategy that capitalized on the library's recognized collection strengths in southern history and expanding strengths in natural history. They also began to look actively for other subject areas where they could begin to shape major research collections. Terry details the growth and development of South Carolina's fundraising program and is candid about the advantages and perceived disadvantages of emphasizing special collections as a primary part of a fundraising program. He also offers wise advice to library directors who want to initiate similar ambitious fundraising programs.

James G. Neal writes about the campaign to raise funds to support the 2001 conference of the International Federation of Library Associations and Institutions (IFLA). His case study is one of few substantive discussion of fundraising for association purposes in the library literature. IFLA conferences are held annually and the venue is moved around the world to maximize participation and regional visibility. In 2001, the venue was Boston, Massachusetts. The United States does not provide funding for IFLA international conferences. Therefore, an ambitious fundraising program was developed to raise the $1.5 million that was needed to support the conference. Neal details the process and strategies that were developed based on the development experience in American librarianship and models from institutional campaign activities.

In her chapter entitled, "What Motivates Presidents to Raise Money for Academic Libraries?" **Candace J. Groudine** presents the results of her interviews with a selective sample of 15 college presidents. She discovered that college presidents today enjoy their fundraising responsibilities and see fundraising for their libraries as a "great sell." For some presidents, philanthropic support for the library means an investment in academic quality. For others, it means enhancing the university's investment in information technology, since the library is a key player in the institution's information revolution. Groudine also discovered that many presidents do not look to corporations and foundations as likely prospects for fundraising. She discusses the degree to which presidents involve the library's director in fundraising opportunities and closes the chapter with her analysis of the opportunities that library fundraising provides for presidents to demonstrate leadership.

Brenda Hazard provides invaluable assistance to the reader who wants to pursue further the topic of library fundraising. In her bibliography of the fundraising literature concerning academic libraries for the past decade, Hazard provides nearly 100 annotations of sources for further study. She also includes a selected list of recommended titles from the fundraising, marketing, and philanthropy literature. The final section of her chapter includes a brief annotated list of websites that identifies resources for continuing education and professional development.

About the Authors

Robert R. Ashton currently serves as Vice President for University Advancement at the University at Albany, State University of New York, a position he has held since 1999. His responsibilities include the overall leadership of the Offices of Development, Alumni Affairs, and University Relations. A fundraising and public relations administrator in colleges and universities for nearly twenty-five years, Ashton's previous positions include Vice President for College Relations at Sarah Lawrence College in Bronxville, New York, where he oversaw a successful $50 million fundraising campaign; Vice President for the $100 million Capital Campaign at the New School for Social Research; Associate Dean at the Stern School of Business, New York University; and Director of Development at the University of Maryland in Adelphi, Maryland. Ashton holds a B.S. in radio-television news and a M.S. in broadcast journalism, both from Syracuse University.

Paula T. Kaufman moved to her current position as University Librarian at the University of Illinois at Urbana-Champaign in September 1999 from the University of Tennessee, Knoxville, where she had been Dean of Libraries since 1988. Before coming to Tennessee, Kaufman served in several positions at the Columbia University Libraries, including Acting Vice President, Director of Academic Information Services, Director of Library Services, and Acting Head of the East Asia Libraries and Business Library. She also has considerable experience in the private sector at McKinsey and Company and as partner and co-founder of Information for Business. Kaufman received her A.B. from Smith College, her M.S. from Columbia University, and her M.B.A. from the University of New Haven.

Merrily E. Taylor has served as the University Librarian at Brown University since 1982. Her prior experience includes various positions at the libraries of the University of South Florida, Yale University, and Columbia University. During her years at Brown, Taylor has been closely involved in the university's ambitious "Network of Scholar's Workstations" project; has more than doubled the library's endowment, in part through two Challenge Grants from the National Endowment for the Humanities; and has revitalized the Friends of the Library. In November 1993, as the result of a $2 million endowment given as part of the university's $450 million "Campaign for the Rising Generation," Taylor became the recipient of the Joukowsky Family Endowed Chair for the University Librarian. Taylor received her B.A. and M.A. degrees in English from the University of South Florida in Tampa and her M.S. in Library Science from Florida State University.

Meredith A. Butler has been the Dean of Library Faculty and Director of Libraries at the University at Albany, State University of New York (SUNY) since 1989. She was appointed to the rank of Distinguished Librarian—the first SUNY librarian to achieve this rank—by the SUNY Board of Trustees in December 2000. Prior to her appointment as Dean, Butler served as Assistant Vice President for Academic Planning and Development in the Office of Academic Affairs at the University at

Albany. She began her professional career at Syracuse University Libraries, where she served as Head of the Humanities Department. She also served as Assistant Director for Public Services at SUNY College at Brockport and later as Assistant Director for Planning and Development at the University at Albany Libraries. Butler received a B.A. and M.A. from the Ohio State University and a M.L.S. from Syracuse University. Butler holds a joint faculty appointment in Albany's School of Information Science and Policy.

Paul A. Willis has been the Director of University Libraries and Professor of Law at the University of Kentucky in Lexington since 1974. From 1968 to 1973, Willis served as Law Librarian and Professor of Law at the University of Kentucky, where he also served as Acting Dean of the College of Library and Information Science on two separate occasions. He began his professional career in the Copyright Office of the Library of Congress. Willis holds an A.B. degree from the University of Kentucky, a M.L.S. from the University of Maryland's Graduate School of Library and Information Services, and a J.D. from the University of Kentucky's College of Law.

Paula L. Pope was the Development Assistant at the University of Kentucky Libraries from 1983 to 2000. Currently, she is Director of the Fellows Society and Donor Relations in the University of Kentucky Development Office.

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Catherine Quinlan joined the University of British Columbia as University Librarian in October 1997, having previously held the position of Director of Libraries at the University of Western Ontario for seven years. Before moving to Ontario, Quinlan worked on the East Coast of Canada, holding positions at Dalhousie University and the Memorial University of Newfoundland. She had extensive fundraising experience in each of these settings. Quinlan holds a B.A. in Music from Queens University, a M.L.S. from Dalhousie University, a M.B.A. from Memorial University, and is in the final stages of completing a Ph.D. at Warwick University.

George D. Terry served in a number of administrative positions at the University of South Carolina including Director of McKissick Museum, Associate Vice President for Administration, Vice Provost for Libraries and Collections, Vice Provost and Dean of Libraries and Information Systems, and most recently, Vice Provost and Dean of Libraries and Instructional Services. As Vice Provost, his responsibilities included the USC Columbia Library System and distance education and instructional support. He was a member of Phi Beta Kappa and ODK. He published a number of works on the history and material culture of the southern colonies. Terry received his Ph.D. in South Carolina history from the University of South Carolina in 1980.

James G. Neal is currently Vice President for Information Services and University Librarian at Columbia University. Previously, he was Dean of University Libraries and Sheridan Director of the Milton S. Eisenhower Library at The Johns Hopkins University and Dean of University Libraries at Indiana University. He has held administrative positions in the libraries at Penn State, Notre Dame, and the City University of New York. Neal provided leadership for The Johns Hopkins Libraries' fundraising and grants programs, with project funding from federal, foundation and corporate sources, and with over $39 million raised in the just-completed capital campaign, significantly above the Libraries' original goal of $27 million. He has served on the Council and Executive Board of the American Library Association, was President of the Association of Research Libraries, and served as Chair of OCLC's Research Library Advisory Council during 1997–98. Neal received his B.A. from Rutgers University and his M.A. and M.S. from Columbia University.

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Chapter 1

Building a Major Gifts Program through the Annual Fund

Robert R. Ashton

Although most people in nonprofit institutions could use more money to achieve their objectives, many shy away from fundraising. It is a mystery to them why people would give away substantial amounts of money. They have a creeping suspicion that successful fundraisers must perform some mysterious and unsavory undertakings in order to trick, cajole, or seduce people into parting with their money.

The fact is, fundraising can be affirmatively moral, socially valuable, and personally uplifting. You are allowing others into a partnership with you and your institution. You permit the donor to take part in a selfless and valuable endeavor that makes our society tangibly better. And you are doing this in ways that cannot be done without this partnership.

Above all, fundraising is *not* mysterious. It is surprising, delightful, frustrating, demanding, rewarding, and disappointing. In short, it is like any other effort dealing with human relationships.

Because each prospective donor makes up his or her mind individually, we must approach fundraising always with respect for and awareness of individual differences. But it is also true that it is possible to make broad predictions about the kind of reactions that will occur in a large group of humans to specific situations. We know, for example, that more people are likely to say that green is their favorite color than turquoise. Of course, looking at a stranger, we don't know which is that person's preferred color. Nonetheless, we know that odds favor green over turquoise. It is this kind of predictability of the behavior of groups of people that gives fundraising its science. It is the fact that we must approach people as individuals that gives it its art.

Combining the art and the science can give you a set of strategies for building and operating an effective fundraising program.

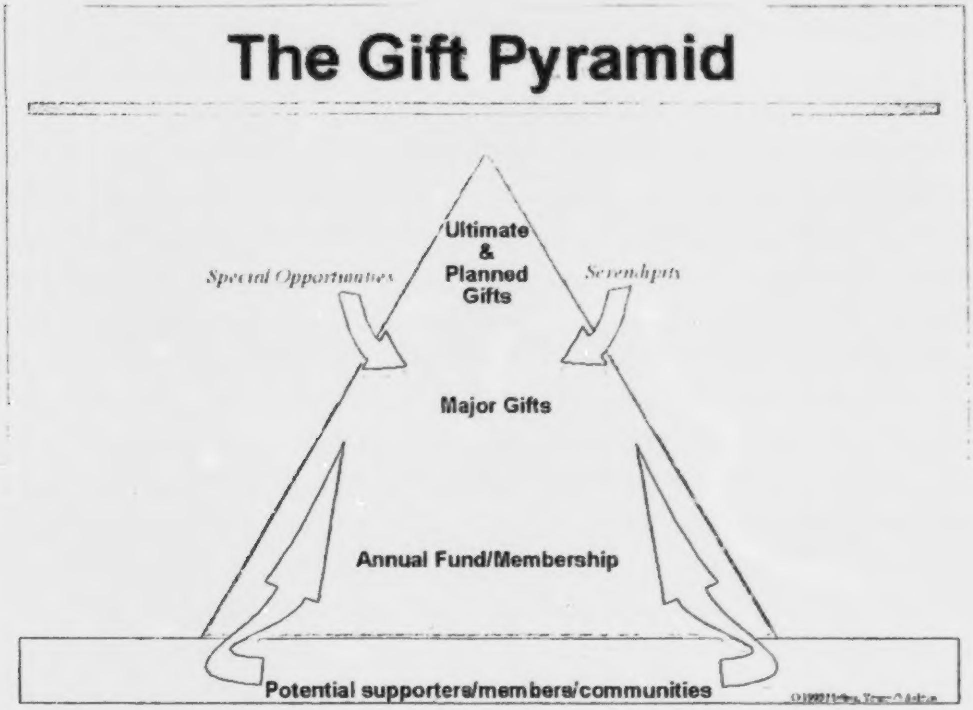

Figure 1

The Gift Pyramid

One hackneyed but useful way to think about a giving program is to picture a pyramid. The pyramid symbolizes *the number of donors* at various gift levels, from the smallest gifts at the bottom to the largest gifts at the peak. (It is probably self-evident, but nonetheless worth noting, that the pyramid should be upside down if it were to symbolize the *dollars* that come in at each gift level. For a mature development program, and especially in a healthy campaign, most institutions will receive 80–90 percent of their gift income from 5–10 percent of their donors.)

The development operations at most institutions and organizations are not mature, however. The point here is to study the gift pyramid to help you decide how to organize your efforts in order to reach the next stage in development. Look at Figure 1. We can see that the pyramid of donors is built on, derives from, the various constituencies that contain potential donors. It is important to remember that this is the base, the foundation, for any organized program.

Your efforts need to be focused on maximizing the number of persons in that base, and on moving people from that base to a point on the pyramid as high as their capacity, circumstance, and interest allow. You need to organize and apply resources in such a way as to move people from caring about what you do, to giving you $25 a year, to making a $250,000 capital gift, to leaving your library $1,000,000 in an estate gift.

Note, too, that along the way there are special opportunities to leapfrog the process. Sometimes you or a volunteer will uncover an individual who has the capacity and interest to start out at the major gift level, never having given a cent before. And there will be highly gratifying serendipitous gifts, from individuals you never knew or who you weren't aware had the capacity to make a major gift. These are of course important and useful, but they are essentially uncontrollable situations. You need to be alert and prepared for these occasions, but you cannot create your long-term strategy around them. Instead, build your strategic plan on moving donors up the pyramid. Concentrate your work, planning, and resource allocations on the things you can control.

It is understandable, when one hears about the unexpected million-dollar gift to another institution from an unexpected source, to want to spend time and energy hunting for those gifts. The idea of making what gamblers would call a "big score" is seductive. But it does not make a good fundraising program. In a way, the difference between just concentrating on finding the really big gift and managing a good fundraising program is like the difference between hunter-gatherer groups and agricultural societies. One tries to maximize the likelihood that they will find some big thing to eat. The other, by planning ahead, applying resources carefully, and staying with the plan, has a higher likelihood of maintaining a stable source of food and building a larger, more complex society.

Of course, it always pays to be alert to possibilities, to be mindful that serendipitous large gifts do occur and might happen to your library. Be ready to recognize and seize the opportunity if it comes your way. But do not make serendipity the basis of your fundraising efforts or you will reduce your chances to grow and prosper.

Elements of a Fully Developed Fundraising Program

Now let's look at the gift pyramid data more closely (Figure 2). Note that there are decreasing costs to raising a dollar as the size of the gift increases (*"Dollar costs"* on the left-hand side of the pyramid), while the average length of time it takes to receive the gift increases with the size of the gift (*"Time costs"* on the right-hand side of the pyramid). Note, too, that in a fully developed program, 5–10 percent of the donors provide 80–90 percent of the gift income.

There are tools at each step along the way to help you move people as far up the pyramid as their interest and capacity will allow.

Communications

The foundation for all fundraising is the *communications backdrop*, because this is how the base of potential donors is built. This communications backdrop includes all the messages you send out, by plan or inadvertently, to the population of possible supporters in your community. These messages may go out through newsletters and magazines, press releases, special events, public service announcements, flyers, even your fundraising letters and telephone calls. The programs you may run that involve the general public tell them something about your library. Together, these messages show how important or useful your services may be, how alert and responsive you are to the needs of the community, how professional your staff, how adequate your facilities. These messages shape the general perception of your organization. Some of the messages are beyond your control (news stories or the lack of them, for instance),

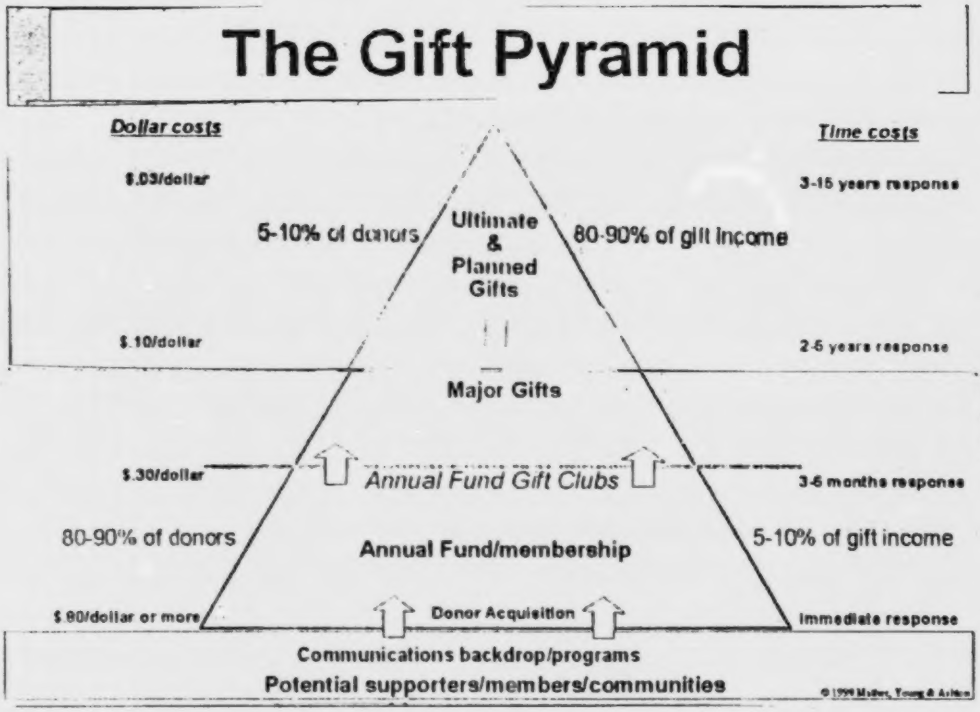
The Gift Pyramid
Dollar costs
Time costs
$.03/dollar
3-15 years response
5-10% of donors
Ultimate & Planned Gifts
80-90% of gift income
$.10/dollar
2-5 years response
Major Gifts
$.30/dollar
Annual Fund Gift Clubs
3-6 months response
80-90% of donors
Annual Fund/membership
5-10% of gift income
$.80/dollar or more
Donor Acquisition
Immediate response
Communications backdrop/programs
Potential supporters/members/communities

Figure 2

but some of the communications you do control. Where you do, you must select not more than three simple concepts you want people to have about your library. Emphasize those three messages over and over again. These concepts should be very clear and uncomplicated, able to be summarized in two to four words. Good examples might be: "Student-centered," "Community resource," "Advancing knowledge," "Strong research collections," "Economic engine," and so forth. These messages are the concepts you want people to think of when your library is mentioned.

Donor Acquisition

Having established a general awareness in your community that your institution is important and worthwhile, you need to ask people to make their first gifts in support of your mission. These are often small gifts, less than $100, even less that $50. This is the *donor acquisition* portion of your fundraising program. Looking at Figure 2, you can see that donor acquisition is usually expensive, because it costs almost as much to raise money from a new donor as that donor is likely to give. But the important thing about donor acquisition programs is that they create not income, but donors. This is how you begin to fill your pyramid.

By the way, people who once supported your organization but haven't made a gift in four or more years behave in general like people who have never made a gift. And, on average, a newly acquired donor is likely to continue to give fairly regularly over the next four to five years. Your library's core supporters, of course, will give regularly for many years, but are likely to comprise only a tiny portion of your total donors in any one year, once your program is mature.

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Annual Giving Clubs

After acquiring new donors—bringing them into the pyramid—your task shifts slightly. Now it is your job to move people up the pyramid to the highest level of which they are capable. Rather than hoping people will simply give you *something* each year, start asking past lower-level donors to consider joining a higher-level annual giving club (or special membership level, if you are using membership as your annual income source). If you don't have such a gift club already established, be careful about setting the correct recognition levels. Eventually, you will want to have a gift club at the $1,000 per year level (with higher levels within that gift club). If you overemphasize an initial gift club at a lower level, you may have trouble moving people out of that level later on. Also, as you work to move donors to a higher level, you need to retain consistency with your initial messages. (Don't suddenly change from emphasizing "Community resource" to "Elite gathering place," for example.) Think ahead to how you will "sell" the higher level gift club, and make sure your early communications about lower-level giving are congruent with what you will eventually be saying about the higher-level club.

It is important to bring your donors to a closer understanding of your mission and what it takes to achieve it. In fundraising parlance, this is commonly called cultivation (again the reference to agriculture!), but it is important to understand the purpose behind this word. It does **not** relate to so-called "friend-raising." Certainly one is usually friendly during the process, but friendship is not the point of the exercise. The point, the objective, of cultivation, is to inform prospects more clearly and deeply about the aspirations and operations of your institution or organization. Slowly, as their time and interest permit, they should become near-insiders. This means you do not keep from them forever any bad news or difficulties you face. Of course, you also don't want to paint a picture of unremitting doom and disaster, either. You need to establish in your top prospects the context for challenging situations facing your library, as well as the knowledge base to understand the implications and solutions. Many top volunteer/donors will tell you that this understanding and involvement in the life of the library provide the greatest personal rewards and fulfillment. It is rewarding because they begin to see how they themselves can make a real difference in the life of an institution about which they care. Indeed, this more intimate sharing of the workings of the operation is fundamental to building a real relationship with donors and potential donors.

Typical Gift Club Levels

Basic levels

- $100
- $250
- $500

Gift Club levels

- $1,000
- $2,500
- $5,000
- $10,000
- $25,000
- $50,000

Figure 3

An important part of the gift club strategy is to create the impression among those who give at this level that they have joined an organization of like-minded supporters of the library. Too often, institutions behave as if gift club

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membership is simply recognition for donations of a certain size. Of course, such recognition is part of the gift club experience. What we want these donors to experience, however, is more engaging—an active joining with others, not a passive receipt of recognition. Thus, once they have joined, when they receive your regular publications and mailings, make sure the letterhead or label reflects the sense of a group identity. Make sure members have special nametags at general events and host special events just for members. Give the group credit for achievements ("made possible by support from members of the XYZ Club") like collection acquisitions, lectures, renovations, and new programs.

Major and Planned Gifts

As you have built a high-level annual fund gift club, you have created a core group of prospects for *major individual gifts*. Others who are not in this group, of course, will be prospective and eventual major donors. But this is the core group, the group you have it within your power to create yourself. They will become, as you educate and involve them, important volunteers and supporters who will add their shoulders to the wheel as you struggle to advance. You will get to know them individually: their interests, concerns, strengths, and quirks.

From this group will come the handful of individuals who will provide the leadership for your library's efforts as you move to a new level of fundraising sophistication and activity. And, as they get ever more deeply involved, they will want to use their wealth to help the organization achieve the goals they have now themselves adopted. They will make large gifts during their lifetime to help achieve those goals and they will include the institution in their estate plans. As your staff gets more sophisticated, you will be able to help these supporters make sensible estate plans that meet their personal and family needs, as well as providing support for the institution.

But, for most of us, all that lies in the future. The question is, how do we seize that future? What do we do now to start down that path?

Where to Start

The most important calculation when starting to grow a fundraising program is where to apply your limited resources. Common sense tells you that not every investment will pay off in the same way. Some pay higher returns than others, some pay off more quickly than others do. Regrettably, at least in fundraising, there are no surefire ways to get very big gifts very fast. But one can move as quickly and efficiently as possible.

Exactly where the most effective place to start may be depends on many variables, including the kind of development and communications programs you already have, the degree to which your prospect and donor pools have already been developed, the wealth that exists in your natural constituencies, the nature and strength of your institution, and its competition for philanthropic support. Not to put too fine a point on it, there is probably no perfect place to start. The single most important thing to do is just to get started. The second or third most important is to start as close to the right place as possible.

There are two things to focus on simultaneously. First, make sure you have analyzed your communications programs to assure every message you send your target audiences (those you think are most likely to become basic supporters) contains the same two or three clear, simple messages. If you don't already have regular vehicles for communicating with important audiences, make sure you establish them. Make sure the vehicles you use (newsletters, magazines, brochures, websites) reflect the qualities you want these important audiences to associate with your library. Bad photography, poor graphics, and cheap materials convey unspoken messages even more powerfully than the words you have so carefully crafted.

Second, launch an annual fund gift club at $1,000 a year. (See Figure 3 for a list of typical gift club levels.) Some organizations find special levels that have a particular meaning. For example, if you are celebrating your 125th anniversary, you may want to establish a gift level at $1,250, rather than $1,000. Or if your founder established the library with a $12,500 gift, you may want to establish a gift club at that level, named for the founder, rather than at the $10,000 level. (Generally, try not to establish gift clubs at levels *lower* than the ones shown for gift clubs in Figure 3, since your objective is to move your donors *up* the pyramid.)

You need to give the gift club(s) a name. Giving the club a special name makes it more substantial in the minds of its members. Keep in mind that you want the donors to feel as if they are joining a group, not just simply giving at that level to the library. If possible, pick a name for the gift club that reflects this history of your library. Name it for an early supporter or leader or for a special physical feature of the facility—The Carnegie Society, The Pillars, The Rotunda Circle, The John Jacob Speares Club. Avoid generic or self-evident names—The Gold Circle, The Century Club, Benefactors, Patrons. The name should require just a little explanation (who was John Jacob Speares, anyway?); or give a chance for a story (Andrew Carnegie was a self-made man who believed in the importance of making knowledge broadly accessible to the common citizen); or provide a visual or graphic link that gives the club a visual identity. Prepare letterhead, pledge forms, mailing labels, and other materials with the name and graphic identity.

Why Gift Clubs?

You not only will develop a useful source of philanthropic income for your library in a relatively short time, but also will create a mechanism to draw annual fund donors toward a higher level. The "profit margin" of gift clubs justifies more recognition and cultivation, making the gift clubs appear prominent and appealing to nonmembers. (It's hard to justify spending $75 on a black-tie thank-you dinner for a $100 donor, for instance, but that cost would represent only 7.5 percent of a $1,000 gift, just 3 percent of a $2,500 gift.) The visibility and desirability of membership in a gift club can be an effective tool in raising the sights of other annual donors.

Gift club donors help in other ways. They form the bedrock of your subsequent major gift efforts and they can provide core leadership of your philanthropic and even governance groups. Because of the gift size, you can afford to pay individual attention to these donors. You will get to know their strengths and interests, their passions and problems. You will know how to engage them in your endeavors in ways that provide them with fulfillment and satisfaction. And they will grow to know the library, to understand the challenges and opportunities you face. They will be able to articulate these to others and will become increasingly sophisticated in seeking support from others for your efforts.

This, indeed, is the third dimension to the gift pyramid. As your supporters move higher on the pyramid, they also move more deeply into an understanding of the organization and how it works. Does this depth of understanding lead to their major gifts or follow from them? Actually, greater engagement and greater giving go hand-in-hand for those who are philanthropic. In any event, whatever the causality, you will find outsiders getting increasingly involved as their interest and understanding develops.

There is no one right way to go about building a gift club, but there are some techniques that work better than others do. Here is one that has been proven effective in many different venues.

The President's Club Dinner Model

This effective strategy is based on small dinners, held at the homes of current gift club members, with approximately five to eight prospect couples attending. It is best that a current gift club member hosts these events because the host then embodies a third-party endorsement of the institution. If the host were not a member of the gift club, it would be substantially more difficult to use this event as a way to focus attention on the importance of membership in the gift club. In addition, the host's membership provides a logical opportunity for bringing up the subject of the gift club informally during the evening.

It is important that the most senior executive from your library (or the division within the library for which you are raising funds)—president, CEO, dean, director—be present. This person helps to attract people to the event and her or his presence emphasizes the importance of the gift club to the library. Because the event is at, preferably, a private home, the evening offers an opportunity for relatively intimate contact with the CEO in an informal, relaxed atmosphere. This is important in informing and cultivating your potential prospects.

You do not need a large cohort of staff at such an event. Indeed, to the contrary, it is preferable to have only one staff member with the CEO. This should be the person who will shortly solicit the prospects. Prospects will recognize both the stature of the individual as someone close to the CEO and that staff member's relationship to your gift club. More pragmatically, you do not want to take up the limited number of seats at an event like this with unnecessary nonprospects. Finally, of course, you do not want additional people from the library to deflect attention away from the CEO and the gift club.

The event is **not** a solicitation event. Rather, it is an opportunity for individuals who may not know much about your library to meet the CEO and learn more about her or his priorities and character. Solicitation for your gift club should take place on a one-to-one basis within a week or two after the event.

How to Hold a President's Club Dinner

Assuming you have all your printed materials prepared as described above, the first task is to find a host. Among current gift club members, identify individuals who have both a broad circle of wealthy acquaintances and friends and a suitable home. (As an alternative to a home, it is possible to hold these events at a private club or even a restaurant, but these are usually less than optimal.) If you have already conducted gift club dinners, the best candidates for hosting them are members who were recruited at previous dinners, because they can understand and visualize it and because they already know it is an effective and useful tool for generating support for the library.

If you do not have likely candidates for hosts among current gift club members, look at your list of prospective donors of $1,000 or more (or, if you don't have such a list-and you should-look at past donors to the annual fund at the $250 and $500 level) to see if any of them might make good hosts. You can then approach these individuals with a dual ask-to join the gift club and to hold a dinner. As you recruit the hosts, you will often find that they have ideas of how such an event should be held. Some may want to have a very large event to maximize the income for the library or they may want to hold it around a special event such as a theater production or film opening. These ideas, while reasonable from the host's point of view, are generally not as effective as the model being described here.

When you meet to discuss the event with the host, take along a list of potential invitees drawn from prospects who have a connection with the library and who you have reason to believe have the capacity to join the gift club. Generally, such a list is drawn from prospects who live near the host, are in the same line of work or social group, belong to the same club, or serve on boards with the host. Use this list not as the invitation list, but rather as a list to prompt ideas from the host. It is the prospect added to the list by the host who is most likely to attend and be persuaded by the host's endorsement.

To get 8 to 10 couples, you need to invite 15 to 25, depending upon the prominence of your institution or organization, the host, and the nature of the region you are operating in. In New York City, for example, or Los Angeles, there are many competing demands on the time of influential and wealthy individuals, so there you would need a larger list of invitees to yield your target group than you might in a smaller town.

You are most likely to get the attendees you most want if the host telephones the prospect to make the invitation and follows up with a letter. However, this is difficult to arrange and hosts who agree to this method sometimes find the pressure on their time too great to follow through. The second most effective method is a letter from the host followed by a telephone call, which can come from a staff member on the host's behalf. The third most effective invitation is a letter prepared by your office for the host's signature on his or her letterhead with a follow-up phone call on behalf of the host from a staff member. In any event, the RSVP should always be made to the host, both to facilitate the host's handling of the event and to reinforce that this is a private party.

One caution: these telephone calls can trigger conversations about the nature of the evening, and it is important at this point not to begin the solicitation of the prospect. If asked what the event is about, say that the host wants to introduce the CEO to important community leaders and that the CEO will talk about the future of the organization or institution.

Usually, this is sufficient, but sometimes the prospect will ask if she or he is going to be solicited for money. There are two potential pitfalls in answering such a question. First, you don't want to end up stumbling into a gift club solicitation over the telephone without the advantage of the cultivation and education the planned event will provide. On the other hand, you do not want to dissemble or to bring to the event someone who is already determined that they are not going to give at this level.

A good response is to tell the prospect that the CEO will be talking to those present about the future of the library. Although there will be no solicitation that evening, it is clear that private support is an important part of the library's future and will probably be mentioned in passing. If the prospect opts out at this point, you have probably avoided a fruitless future solicitation call; but, if he or she comes, there is a higher likelihood they will ultimately join the gift club.

If possible, you will want to provide your CEO (and possibly the host) with a thumbnail background sketch on each of the attendees. Usually three or four sentences are sufficient for each. Be sure to reference any past involvement with the library and CEO and especially any giving record.

At the Dinner

Be sure the CEO arrives early enough to join the host in welcoming all the guests. The staff member should circulate to make sure that everyone is introduced to the CEO and to gather any useful information, some of which might be helpfully incorporated into the CEO's remarks after dinner.

After the meal, the host introduces the CEO, often but not necessarily with an endorsement of the gift club. When the CEO speaks, she or he should focus on the *vision of the future* for the library. Talk about how important it is to the community, about its pinnacles of excellence, and about long-range strategic plans and objectives. In short, the talk deals with the substance of the library in a very positive light. At some point during the prepared remarks, which should last *no more than 7 to 10 minutes*, brief mention should be made of the host's membership in the gift club and how important private support is to achieving this vision of the future. The CEO should indicate at that point that the staff member present works with the gift club members.

Usually, after this talk, there is question and answer period. This can provide a lively and revealing interchange that can help you understand the interests and concerns of the prospects. As the dinner breaks up, it is useful to hand each of the couples present a sealed personalized envelope, containing materials about the gift club including membership lists and membership criteria, but no pledge form. As the development officer distributes these quietly, one-by-one, she or he should mention that they will be calling on the prospect in a few days to discuss the gift club.

After the event, the development officer should debrief the CEO and the hosts about the prospects as soon as possible and, by the next day, prepare contact reports on each couple or individual. At the same time, a thank you letter to the host should be prepared for your CEO's signature.

Setting up the Solicitations

Within a week, the development officer telephones each prospect seeking an appointment to discuss the gift club. *It is important at this point to make clear the purpose of the conversation.* Once again it is important not to stumble into the solicitation over the telephone at this point. Your objective in this telephone call is to get the appointment, not to carry the conversation further into the solicitation. Remember that one of the primary strategies behind the gift club is to develop a more personal relationship with the prospect. This began at the dinner and will continue with your face-to-face contact. The telephone is not an effective tool for building that relationship at this point.

At the solicitation meeting, one should be sure to indicate that both the host and the CEO are hoping this individual will join the gift club. It is often useful to suggest that you want also to recruit this person to help tell the story of the library to others. In other words, the prospect should understand that he or she is not just a source of funds, but is rather being enlisted because of his or her prominent position to help move your cause forward.

It is important to be prepared with background information so that you can answer questions that the prospect is likely to have about previous contributions they may have made, whether those gifts count toward membership, acceptable pledge payment schedules, and so forth. Also, in your prepared materials you should have a personalized pledge form or Memorandum of Understanding (using materials with the gift club name and logo) that you will bring out only after the person has agreed to join. This form should be signed at the time and be taken away with you. If it needs modification, it can be modified on the spot or you can make note of the necessary changes and schedule another meeting for the signing. Do not leave the form with the prospect to be signed and sent back to you at a later time.

If the prospect demurs, take time to find out why. There may be misunderstandings about the library or the gift club that you can put to rest. Or there may be issues regarding timing that will allow you to return to the prospect at a better time. If you cannot obtain agreement to join the club at this meeting, find ways to establish reasons for a future meeting. These might be to provide information the prospect wants, to make changes in the agreement, or to introduce the prospect to someone who you think she would like to meet or who could address particular issues she has. You have worked hard to get this door opened. Do not let it close too easily.

Finally, make sure you inform the host promptly of the result of the solicitations you have conducted with the people who attended his or her event.

The Six Keys to Success

As with all human endeavors, there are a number of variations on this theme of a gift club dinner and certainly other ways to generate a core group of educated and committed donors upon which you can build a major gifts program. If you can focus on the critical factors that move you closer to success, the specific model you employ is likely to be successful. The key elements that lead to success in this model and need to appear in any successful model are the following six:

1. STRONG LEADERSHIP

   Your CEO, who must be able to articulate a compelling and credible vision of the future of your institution, provides the leadership. If the ability to generate excitement about the future is not there, work with your leader to develop that articulation. In addition, both you and the CEO should be aware that practice makes perfect in fundraising, and most CEOs grow to feel increasingly comfortable with articulating the vision after they have had experience doing it.

2. APPROPRIATE STAFF

   Not everyone can effectively staff such a program and solicit gifts. The most effective fundraisers for this type of program need to be personable, persistent, and articulate. Although they must realize that they represent the library, they must also realize that it is the library which is most important, not themselves, in building the relationship with the prospect. They must be detail-oriented and have good follow-up skills.

3. GOOD PROSPECTS

   A rule of thumb is that anyone who earns $70,000 a year or more can give $1,000 to an organization or institution that is a high priority for them. This is only a rule of thumb and individual circumstances vary. And, of course, it is up to the prospect to determine what she or he feels comfortable doing. One of the great benefits of the dinner model presented here is that the structure of the event itself allows people who do not feel that they are prospects to withdraw from the process before you get to the solicitation point, giving you a higher likelihood of success in the solicitations themselves.

4. VOLUNTEER ENDORSEMENT

   Because current members host the dinners and so much of the initial contact is focused on them, it is clear to the prospects that this is not a staff-driven solicitation but reflects a third-party endorsement both of the library and of private support for it. It also reinforces the sense that the gift club is a real organization of like-minded (and like-capacity) individuals, banded together for the betterment of the library.

5. SMALL GROUPS

   These dinners provide a time for compressed cultivation. It is somewhat more intensive and in a shorter period of time than might have occurred over a long span of annual fund solicitations. In this regard, it is important that prospects attending the dinner are not made to feel that they are members of an audience watching your CEO, but, rather, individuals engaged in a small discussion group over an important community issue.

6. TIMELY SOLICITATIONS

In fundraising, it is axiomatic that nothing happens until someone asks someone for money. Because this model uses staff for solicitation, we can have effective, timely, and accountable solicitations. It is not unreasonable to expect a development officer with no other duties to conduct 20 or so such events a year. But it would be difficult to get a volunteer to do so effectively.

As you build an active annual fund gift club, you will find that your success changes your library's operations. You will have more funds, of course. You will have the core for a major gifts/planned gifts program that will provide substantial future support. You will have created the possibility of greater fiscal health.

You will also have more partners in the enterprise. This brings obvious strengths to the library, but some perhaps less-obvious challenges. These new partners need to be kept informed and involved. They form a new constituency that will need the attention and involvement of the library's leadership. In the end these new partnerships will make you and the library that much the better. But you will have management challenges you may not now face. Do not try to build an active group of donors without accepting the fact that your life will become more complex and textured as a result.

However, with these changes you will also find your life is more rewarding. You will have taken the first steps in building a fundraising system for the library, a system that will make enormous difference in the future. You will have affirmatively seized the future and shaped it to include your vision for the library.

A strong fundraising program will outlast any CEO or development officer. It is truly a living legacy.

Chapter 2

The Tennessee Imperative: Case Study of a Library Fundraising Campaign

Paula T. Kaufman

> We face the greatest challenge of all: opportunity.
>
> Are we a school of brick and mortar? Or are we a total university with comprehensive resources as well as excellent facilities? This is the time to answer those questions, and we are at the point where we can make a difference.
>
> The ground swell of demand to expand the library's holdings leaves us with no alternative. The University of Tennessee, Knoxville Libraries sustains the spirit of discovery, and that spirit kindles the Tennessee Imperative. We will answer the mandate given to us, and the future will be ours to mold and shape.
>
> James A. Haslam II
> President and Chief Executive Officer, Pilot Corporation
> Chairman, The Tennessee Imperative Campaign
> December 1986

The Tennessee Imperative was the University of Tennessee, Knoxville's first formal fundraising effort undertaken specifically for its university libraries. Without many models of public university library fundraising campaigns to follow in the late 1980s, the Tennessee Imperative broke new ground. Although it did not come into being exactly as Mr. Haslam described, the force of university leadership and the hard work of many people who were passionate about the need to improve the library's holdings for the university's students and faculty and for the citizens of Tennessee helped ensure its ultimate success.

As the state's comprehensive Research 1 land-grant and flagship university, the University of Tennessee, Knoxville (UTK) was, in 1988, the largest university within the University of Tennessee (UT) system and the largest in the state. (A subsequent reorganization has changed UT's structure significantly). It was populated by nearly 26,000 students and 1,200 faculty members and had significant strength in the physical and natural sciences, in English, and in selected professional disciplines. It offered its academic programs through 13 academic units, including the College of Liberal Arts and a wide range of professional schools, excluding medical science (which was located at UT's Memphis site). Close proximity to the Oak Ridge National Labs was a significant factor in the development of UTK's strength in physical and natural science.

During the 1980s, under the leadership of Governor Lamar Alexander (who in 1988 became UT's president), the state invested significant funds to improve its state universities by building select and focused programs of excellence. The Chairs of Excellence, Centers of Excellence, and the Distinguished Scientist programs provided the capital required to recruit and retain scholars of the highest quality; they in turn attracted highly competitive graduate students to study and work under their tutelage.

During his tenure from 1973–1989, UTK Chancellor Jack E. Reese placed the library among his highest priorities. Under his leadership, the state funded a $28.5 million extensive renovation and addition to UTK's undergraduate library, transforming the space into a 350,000 square foot central library building that opened in 1987. State approval of the building's construction served as the impetus for an effort to raise sufficient private funds to build collections of excellence, equivalent to its facilities, that would serve the UTK academic community well into the future. Chancellor Reese's passionate leadership, along with strong support from UT development officials, compelled the university to commit to a fundraising campaign for the UTK libraries, the Tennessee Imperative.

Before the Tennessee Imperative, fundraising for the university libraries had been left to faculty and staff in different sectors of the university. The libraries' staff itself was relatively inactive in this area, as was typical in many public universities at the time. John C. Hodges, Professor of English and author of the *Harbrace College Handbook*, had long championed the libraries and had acted as its unofficial fundraiser for many years until his death 1967. During a university-wide campaign in the early 1980s, development staff assigned to the College of Liberal Arts paid particular attention to the libraries' needs, especially while raising funds to match a challenge grant from the National Endowment for the Humanities. However, no personnel from the development office were assigned permanently to work on library fundraising, nor did the university libraries invest its own funds to hire fundraising professionals.

In 1988, the university libraries comprised the John C. Hodges Library (the "main" library) and several branch libraries: the Webster Pendergrass Agriculture/Veterinary Medicine Library, the George F. Devine Music Library, and Special Collections/University Archives. The Law Library reported to the Dean of the Law School and was from its inception included in the plans for the Tennessee Imperative. Total holdings in 1988 were about 1.8 million volumes and 2.5 million microforms, putting it at 69th in size among the 107 university members of the Association of Research Libraries.

Having no separate foundation, UT's system-wide development activities were overseen by an executive vice president; trust relations and alumni affairs for all universities in the UT system were part of this office's responsibilities, as was general oversight of the various campus development operations. On the UTK campus, development activities were directed by the vice chancellor for development, assisted by highly qualified development professionals both in administrative functions and as development officers assigned to a few large colleges. When the Tennessee Imperative was launched in 1988, there were two other college-specific campaigns underway, one for the College of Agriculture and one for the College of Engineering.

Dean of Libraries Donald Hunt announced his upcoming retirement in 1987. While a search for his successor was conducted in the fall of 1987 and the spring of 1988, plans were being developed to launch the Tennessee Imperative. Thus, when I arrived as dean of libraries in August 1988, the wheels for a successful campaign had already been greased and the vehicle was off and running in the right direction. But, I'm getting ahead of the story.

With the construction of the new John C. Hodges library underway in 1985, Chancellor Reese formally proposed a campaign to raise funds for library collections endowments, with a tentative goal of $10 million. Hired to conduct a feasibility study, the consulting firm of Jerold Panas, Lintzy and Partners held 125 interviews from October 1986 to March 1987. They concluded that although only 40 percent of those interviewed said that a $10 million goal was realistic and attainable, and another 30 percent said that it would be difficult but possible to raise that sum, it was feasible for the university to raise between $8 and $10 million in a two-year campaign period.

While the feasibility study was underway and before a final monetary goal had been set, James Haslam II, president and CEO of Pilot Corporation, a member of UT's Board of Trustees, and a long-time alumni supporter of the university, agreed to serve as chairman of the campaign. The campaign goal finally was set at $6 million, its duration was affirmed as two years, and a search for an appropriate name began. "Reading the Future" had some staying power, but it was eventually supplanted by The Tennessee Imperative, which was adopted in the spring of 1988.

> The future belongs to the institution that recognizes the imperative of the library, its collections and accessibility. The greater the importance given to the library, the more consequential the destiny of the institution. One, inseparable from the other. Choose this moment for your institution to advance with dogged determination and unswerving commitment to make your library the best it can possibly be. Leadership must seize the challenge, plan courageously, reach beyond, extend to new horizons. It is a time for bold action pursued with a zeal and ardor which knows no bounds. The library is the university—its most valued resource, its most precious and significant imperative.*

* Jerold Panas, Jerold Panas, Lintzy and Partners.

The need for more resources for the libraries was indisputable. UT had struggled with flat and sometimes declining budgets throughout the previous two decades. New state investments in programs designed to raise the institution's quality did not bring concomitant financial resources for library collections, and new inflationary pressures were eroding the libraries' buying power. It had been forced to cancel large numbers of serial titles three times in the prior decade, and a fourth cancellation project then loomed large. Thus, it was easily determined that the sole focus of the Tennessee Imperative would be to raise funds that would supplement, not substitute for, those already provided by the state and that would raise significantly the quality of the libraries' collections to support the university's expanding research emphasis and activities.

Even before the campaign's name became official, however, a key strategy was launched. Campaign planners thought that it was necessary to demonstrate the libraries' importance to the university community. The development office designed a team concept for a "Family Campaign", recruiting Dr. Milton Klein, University Historian and Professor of History Emeritus, and Dr. Marian Moffett, Professor of Architecture, as campaign co-chairs, along with about 200 faculty volunteers. Organized in a fashion similar to those found in university Campus Chest campaigns, the volunteers met with their colleagues face-to-face to explain the campaign and ask for personal contributions and pledges. Within a few months the Family Campaign had yielded more than $500,000 and a participation rate among faculty and students in excess of 80 percent. Special features of the Family Campaign included payroll deduction as a payment option; the promise that no individual in the university libraries would learn of any family campaign donor's gift amount; and a commitment that the libraries would not resolicit family campaign donors when their pledges had been paid in full.

The significance of the Family Campaign's success cannot be understated. In the spring of 1988, while the faculty was learning that there would be no raises for at least the second consecutive year, Chancellor Reese announced his impending retirement. Much of the Family Campaign's success can be credited to the fact that the faculty and staff pulled together to honor their much beloved chancellor by contributing their funds to the libraries, which was his passion.

During the months before the official campaign kickoff in May 1989, there was a considerable amount of activity on a number of fronts. The development office hired a professional fundraiser who was assigned to spend all of his time on behalf of the library; he was also assigned to office space in the library's administrative office suite. The work of raising funds during this "silent phase" had begun in earnest by the time I arrived in August 1988. A week before my official starting date, I participated in a meeting with Lindsay Young, a retired local attorney and generous friend to many worthy causes in Knoxville. Along with senior university officials was the Dean of Liberal Arts and a half-dozen eminent faculty members from various humanities disciplines, each of whom made a personal appeal for funds to support their work by raising the quality of the libraries' holdings. Primarily as a result of that meeting, Mr. Young agreed to make a cash gift of $1 million. A small portion of the gift was used to purchase extant papers of Knoxville native Pulitzer Prize winner James Agee; the rest formed an endowment fund to support the purchase of materials that would make a qualitative difference to humanities scholarship at UTK.

It was then highly unusual to receive cash gifts of this size, and the way in which this gift was conveyed was unique. I accompanied Jack Williams, Associate Vice Chancellor for Development, to Mr. Young's office in February 1989. There, on a side table, was a stack of unopened Social Security checks, which he refused to cash because he didn't need the money; he had not yet been successful in convincing the Social Security Administration not to send them to him at all. This explanation was followed by an apology: he didn't have quite enough money in either of his checking accounts to write us a single check, so he asked if we mind if he wrote us two, each for $500,000. We agreed that this would not be a terrible inconvenience.

Another special feature of the early days of the campaign was a series of cultivation dinners held in the Galleria of the newly completed, but still unoccupied, Hodges Library. About 20 high-potential donors were hosted at each event by Chancellor Reese and Campaign Chair Jim Haslam. Several people who were so hosted subsequently made campaign contributions.

Other fundraising efforts during this period included $100,000 raised for the Reese Endowment by the Chancellors Associates (a town-gown advisory and interest group) and students; $275,000 given by Jack Fugate, a supporter who had recently retired from government service and returned to the area to raise exotic animal breeds on family land after decades of work abroad; two estate gifts of $243,000 and $187,000; $100,000 from Natalie and James Haslam, II; $50,000 from English Department gifts; $50,000 from local supporters Mr. And Mrs. Robert Culver; and a $60,000 gift from the UT Men's Athletics Department.

Athletics holds a special place at UTK and throughout the state. Until recently without a professional football team in the state and with its long-time success in the SEC Conference, the men's football team consistently generated revenues that exceeded its costs. Successful sustained fundraising efforts, sound financial management, and high positive visibility created the perception that the UT Men's Athletics Department would be in a financial position to assist in the libraries' fundraising efforts. And, indeed, it did. During the silent portion of the campaign, it contributed $60,000 from concession sales at a regional basketball conference held at UTK and about $20,000 from revenues generated during a spring scrimmage; it subsequently contributed $200,000 from the Pigskin Classic football game in 1989. Although these funds were very important to the campaign, active participation by UT Men's Athletics officials was never realized.

The official kickoff of the public portion of the Tennessee Imperative was held at a dinner on May 17, 1989. By that time a case statement had been prepared (after several abortive attempts) and campaign literature had been produced. Invitations were extended to all current and former members of the Chancellors Associates; top library donors; UT and UTK officials; co-chairs of the Family Campaign; and representatives of the UT Retirees Association who helped in the Family Campaign. Those present heard from the current chairman of the Chancellor's Associates, student representatives, Dean of Libraries Paula Kaufman, Campaign Chairman Jim Haslam, UT President Lamar Alexander, and Chancellor Jack Reese. The speakers emphasized the campaign's goal of creating large endowments, the income from which would be used to purchase library materials. All spoke eloquently, stressing that the library needs that led to the campaign resulted from continuing inflation in the cost of library materials; deflation of the dollar that resulted in greater costs for foreign publications; the need to create a first-rate collection to serve the needs of a first-rate faculty and student body; and the state's inability to provide all funds needed for a truly excellent collection.

The summer and fall were busy times for the libraries and the university. Chancellor Reese retired from his position to return to teaching and was replaced in July 1989 by John J. Quinn from Brown University. The libraries' first development officer, who had no previous professional experience in an academic institution, proved not to be a good match for the position and left the university before the end of the calendar year. His replacement, Laura Simic, identified in a national search, had been the development officer at the University of Oregon library, where she had a successful fundraising record; she began in her new position in the winter of 1990.

The libraries also organized its first formal Library Friends group during the fall of 1989. Until that time, the libraries' efforts at creating such a group had been limited to an annual reception to which all donors were invited. The new group was designed to provide advice to the dean of libraries and the library development officer and to participate in increasing annual funds gifts by raising awareness of the university libraries in the community. It differed from traditional library friends groups in several ways. Its focus was on the entire libraries organization, not just on Special Collections, which was the contemporary model of many library friends groups. No special Library Friends expenditure funds were established; rather, all one-time undesignated gifts were funneled into the Library Development Fund, whose spending was at the discretion of the dean of libraries. And, everyone who made a donation (monetary or in kind) to the libraries was given a one-year Library Friends membership.

The first Library Friends board set a standard for subsequent boards by the distinction of its membership, which included many highly visible community leaders and library donors. The board was chaired by the executive director of the Chamber of Commerce of an adjacent county. Although the board's activities became more focused and effective over time, it was successful both in identifying and arranging speaking engagements for the dean of libraries at important civic organizations and in creating a lecture series freely open to the public. Early speakers included UTK Professor of English Charles Maland, whose book on Charlie Chaplin had been a Pulitzer Prize finalist, and James MacPherson, Princeton's widely known Civil War historian. The latter event attracted more than 200 attendees, some dressed in Civil War uniforms, and widespread press coverage.

Until the start of the Tennessee Imperative, the libraries' highly regarded publications program had focused on two groups: UTK faculty, who received the *UTK Librarian* newsletter two or three times a year; and current donors, who once a year received a copy of the *Library Development Review*, a full-color glossy publication that focused on newly acquired collections in the Special Collections Library. It included a list of all donors and an envelope insert requesting funds; sufficient contributions were received through mail-backs to pay for the costs of the publication. During the campaign, the *Development Review*'s focus was broadened to include articles and appeals about the importance of private giving to support the libraries. Cornelia Hodges, John Hodges' widow, subsequently pledged annual funds to cover the cost of publication. The funds thus saved were invested in part to produce a twice- or thrice-yearly newsletter sent to all Library Friends.

Several UTK collegiate deans recognized the importance of improving the libraries' holdings to their own programs and partnered with the libraries in interesting and productive ways. At the end of the College of Engineering Campaign, Bridging the Future, Dean of Engineering Bill Snyder (who later became UTK's chancellor) transferred $75,000 in unrestricted gifts to the libraries as a token of his college's commitment to the enterprise. In the same spirit, Dean of Business Warren Nell included an option in his annual fundraising campaign that encouraged Business College alumni and supporters to give funds to the Tennessee Imperative. That effort resulted in the establishment of several small endowment funds.

The university's planned giving officers were highly aware of the Tennessee Imperative and diligent about directing to the libraries potential donors who were unsure of where they wanted their funds designated within the university. This practice brought about many significant gifts and gave the libraries two of its most ardent supporters early in the campaign.

Paul Miles was then a top-level investment manager with the local American Express IDS operation. UTK faculty and staff formed a major portion of his client base, and he and his wife Marion were eager to help the university. They particularly wanted to invest in a way that would benefit all of the disciplines and functions in which their clients worked. Neither of the Miles are graduates of UTK. They were raised in Arkansas where they met at a small church college; after professional jobs in several industries they moved to Knoxville when Paul was transferred by an employer. The Miles are genuinely modest people who feel an obligation to share their good fortune with others.

It took little persuasion for them to realize that the libraries were a perfect place for their monetary investment. The libraries' needs also awakened a passion in Paul, who quickly joined the Library Friends board, and subsequently chaired the board and became an articulate and effective spokesperson for the libraries' needs and an excellent fundraiser. During the decade since their involvement with the libraries, the Miles have established a seven-figure trust, funded a program to reward libraries employees' suggestions, and made more than 150 calls on potential donors.

Most of the major donors to the Tennessee Imperative were identified by UT officials, both in trust relations and at the vice presidential and presidential levels. The campaign's goals would not have been reached without their direct assistance. Their involvement went well beyond identifying donors; often they arranged meetings for libraries officials or made individual or joint calls on donors and potential donors. The dean of libraries and library development officer also made numerous calls on current and potential donors. This required little travel since nearly 90 percent of the libraries' donors live within a 40-mile radius of Knoxville.

By May 1990, the campaign had reached the $4 million mark. The gifts from the UT Men's Athletics Department had exceeded $300,000. Realizing the importance of stewardship, the libraries established the McAdoo Society, named in honor of UTK alumnus William Gibbs McAdoo, Woodrow Wilson's secretary of the treasury. McAdoo Society members received regular calls, birthday cards, holiday gifts, and other small remembrances of the libraries, and were often taken to lunch, a football game, or other campus activities that matched their interest by the development officer and/or the dean of libraries. Although the libraries at that time did not have season seats in the football stadium (a subsequent expansion of the stadium made that possible after the Tennessee Imperative ended), the development office was generous in providing seats both in its outdoor "box" and in the chancellor's sky box, considered to be a special treat by many donors.

Early in his short tenure, which coincided with the duration of the Tennessee Imperative, UT President Lamar Alexander recognized the importance of the effort and probed the possibility of improving the libraries' holdings while raising the university's visibility nationally. It was through his efforts that the libraries received two extraordinarily important collections. In November 1990, Howard Baker, Mr. Alexander's close personal and political friend, announced the gift of all of his papers, including a sizeable collection of his well-known photographs, which spanned from the start of his political career until he became President Reagan's chief of staff (under federal law papers generated from that office belong to the Reagan Library). The libraries already held the senator's late father's papers as well as those of his stepmother, Irene, who succeeded his father in the Senate after his death. Thus, scholars wishing to study the contributions of this remarkable family now had access to a significant collection. Coupled with the papers of the late Senator Estes Kefauver, also held by the UTK libraries, and the recently donated papers of the late Congressman John Duncan, Sr., scholars would soon be able to study the contributions of prominent Tennesseans to the national political scene. Senator Baker imposed only a seven-year embargo on his papers, and Mr. Alexander helped raise funds to support an oral history and a study of Baker and his colleagues.

UT President Alexander also arranged for a meeting with Tennessee writer Alex Haley, who had settled on a farm outside of Knoxville. Given his strong feelings about his home state, it took little persuasion to convince Mr. Haley to give all of his papers to the UTK libraries. He transferred the papers relating to *Roots*, his most influential work, but regrettably failed to sign a gift agreement before his unexpected death in 1992. All of Haley's possessions were sold at auction, and although the UTK libraries were able to acquire a few items relating to its *Roots* collection, the rest of the materials are now dispersed around the country.

By March 1991 the campaign surpassed its $6 million goal and the number of contributors had exceeded 6,000. At the Victory Celebration held on April 23, 1991, university officials announced the campaign's completion with gifts in hand and irrevocable commitments of about $8.75 million. Success was in hand and naming of libraries spaces in honor of donors began in earnest. Although it took some time to fabricate, a plaque honoring major donors was installed in one of the Hodges Library's two entrances. There it still hangs, where visitors often stop to read the names on it and where donors bring their friends to see their names.

Although the campaign ended officially in the spring of 1991, the libraries' base and infrastructure for increased fundraising was well in place, and development activities, including permanent assignment of a development officer to the libraries, were an integral part of the libraries' culture. The UTK Graduate Student Association (GSA) began its annual "Love Your Libraries" 5K race and fun run that, although not a huge money generator, raises awareness of the libraries' needs every March. A subset of the GSA, led by an enthusiastic law school student, raised funds for the libraries in the fall of 1992 by selling "Beat 'Bama '92" buttons before the year's most important football game. It was not until after this sales effort that the students learned they had violated licensing and vending rules. The student who organized the event now practices law in a neighboring town and is an active libraries supporter.

The Tennessee Imperative far exceeded its goals. There were many lessons learned, some of which helped the success of the libraries' efforts in a subsequent UT-wide campaign that began only a few years after the wrap-up of the Tennessee Imperative. Clearly, the campaign would never have taken place or succeeded without the passionate commitment and leadership of Chancellor Jack Reese, UT senior officials, and development professionals at UTK and the UT system. The support of the deans of two major colleges, while not providing enormous sums, was critical to boosting morale of libraries' officials. The generous support of the UTK "family" was instrumental both in convincing people who became major donors of the importance of increased support for the library to UTK faculty, staff, and students and in identifying several UTK faculty—current and retired—who became major long-term donors and supporters.

But, clearly, not everything went as smoothly as hoped. The poor fit between the libraries first development officer and the institution may have cost some valuable momentum early in the campaign; fortunately, the personal intervention of Associate Vice Chancellor for Development Linda Davidson, helped compensate for those potential losses. Access to lists of potential donors from among alumni was extremely limited, and the potential loss there simply cannot be measured. Experience in a subsequent campaign, in which libraries' access to alumni who had failed to respond to approaches by their colleges and departments yielded a significant number of new donors, suggests that the lost opportunities may have been significant.

Structures and mechanism such as the Library Friends Board and a new Library Friends newsletter were not developed until well into the campaign. Again, although it is hard to measure the potential lost opportunities, subsequent experience shows that even greater success may have been achieved if they had been in place prior to the campaign.

As dean of libraries, I spent about 1/4 to 1/3 of my time working directly on the Tennessee Imperative. I and the libraries' development officer were virtually the only library employees involved in the campaign, with the occasional exception of the deputy dean of libraries and the head of the Special Collections Library. Because library fundraising was so new in public institutions, libraries faculty and staff had difficulty understanding why the $8.75 million raised was not cash in the bank ready to be spent at the campaign's conclusion. The development officer spent time at several meetings of the Library Faculty and the Library Management Group explaining the philosophy and mechanics of fundraising for libraries in general and the Tennessee Imperative specifically. By the end of the campaign there was a better, but far from perfect, understanding of how such campaigns worked and what their individual roles might be the next time around.

Before taking up my position as dean of libraries at UTK, my development experience had been very limited. Putting aside a few discussions between the Vice President for Development and University Librarian Patricia Battin about Columbia University's new, large capital campaign in which I was more observer than participant, my only real direct experience was when, as acting university librarian in 1987/88, I had an opportunity to work closely with Kenneth Lohf, head of Rare Books and Manuscripts, both in meetings of his Friends of the Library Group and in stewardship calls on current donors. Although I participated in no direct "asks" for funds or collections, I learned from a "master" how important stewardship is in successful fundraising.

I was also fortunate to have been tutored on the job at UTK by Associate Vice Chancellor for Development Linda Davidson. She not only explained the various processes carefully, but she accompanied me on meetings with donors and perspective donors and gently critiqued my performance after each session.

From my perspective, development activity is one of the most enjoyable parts of a library director's job. It is exhilarating to have the opportunity to speak passionately about that which one is passionate—the library—and it is wonderfully rewarding when people respond with positive words and money. Probably most difficult for me was adjusting my goals from raising money to be spent immediately to creating a long and lasting financial base for the libraries. I have often half-jested that I will have succeeded if decades from now my successors look back thankfully upon the work that I did so long before.

The University of Illinois at Urbana Champaign (UIUC), where I am now university librarian, has just ended a seven-year, university-wide capital campaign. The library exceeded its $25 million goal by raising nearly $27 million and broke new ground in library development activities, thanks to the pioneering work of Joan Hood, widely regarded as the founder of library-specific development. But, with barely a moment to take a breath, plans are beginning for a separate fundraising campaign for the university libraries, to be launched in the fall of 2001. In this large and decentralized setting, we are planning to build partnerships with individual colleges and departments that far extend those developed in the UTK campaign.

Clearly, there are no easy roadmaps for a library capital campaign. That I succeeded is due to my own instincts, my passion for the library, and the good and wise counsel and help from UTK (and now UIUC) fundraising professionals.

CONCLUSION

By most measures the Tennessee Imperative was a success. It met its financial target within the campaign's two-year time period and it established a strong foundation for future libraries fundraising. From its fledgling beginnings, libraries fundraising matured very rapidly into an established and accepted structure within the organization. Although several lost opportunities can be identified in hindsight, in the end, it was a rousing success.

Chapter 3

Rising to the Challenge: The Brown University Library's NEH Challenge Grant for Preservation 1996–2000

Merrily E. Taylor

Brown University is a relatively small, private liberal arts university in Providence, Rhode Island. Established in 1764 as Rhode Island College, Brown is the seventh oldest college in America. Today, the university has approximately 7,300 students, some 1,500 of whom are graduate students. Brown is a member of the Ivy League, but with an endowment of just over $1.5 billion, is significantly "poorer" than the other institutions in the group. Despite its modest size, Brown University is home to a major research library. The Brown University Library holds more than 3 million volumes and is especially known for its special collections, which include the Harris Collection of American Poetry and Plays, the Albert E. Lownes Collection of Significant Books in the History of Science, and the McLellan Lincoln Collection.

As at most private institutions, fundraising at Brown University is both an imperative and an ongoing process. Although the university was able to count on the reliable generosity of a handful of devoted, long-term donors before the 1970s, harsh financial realities in the early years of that decade led the university to strengthen its development office and embark on an ambitious fundraising program that continues to this day. The university concentrates its efforts in four general areas: 1) unrestricted annual giving, which allows the institution to apply the funds to its highest priorities; 2) restricted or directed gifts, which combine the university's current needs with a donor's special interests; 3) endowment gifts (restricted or unrestricted), to provide ongoing revenue; and 4) planned giving, which includes such mechanisms as bequests, pooled income funds, "or other sophisticated mechanisms that provide current or future funds to Brown."[1]

Not surprisingly, given its size, the university's administrative structure is highly centralized and fundraising is no exception. All fundraising is done through the development office, and individual departments are neither permitted to employ their own fundraisers nor to establish fundraising "targets," without clearance through the administration. The intent of this policy is to ensure that development time and energy is focused on the university's top fundraising priorities, and to protect donors from multiple, uncoordinated, and oft-times conflicting, "asks." However, Brown's centralized approach does not preclude the establishment of specific goals for departments like the library, or the commitment of development resources to that goal. Indeed, the library has been included in all the university's campaigns, large and small, since the late 1970s.

From 1993 to 1998, Brown University was engaged in a major university campaign, under the banner of "The Campaign for the Rising Generation" (a term taken from the college's original charter). The campaign goal was $450 million, and primary goals within the campaign were financial aid, endowed chairs for faculty, annual giving, and capital projects, including a major new classroom, office, and laboratory facility. The University Library and the John Carter Brown Library (an independent research center located on the Brown campus) were included in the campaign, with goals of $17 million and $6 million, respectively. Ultimately, the university raised some $15 million for the University Library during the campaign, and was successful in finding $6 million for an addition to the John Carter Brown Library building.

As the campaign began, the University Library's needs were articulated in three major areas: 1) collection support, 2) technology, and 3) preservation. However, as fundraising efforts moved forward, it became clear that the goal for preservation, in the neighborhood of $3 million, was unlikely to be met. Because there were about a dozen priorities overall in the university campaign, with financial aid and faculty support getting the most attention, it was difficult for development staff to give attention to the library and especially difficult to "sell" a complex enterprise like preservation. When development officers did approach their prospects on behalf of the library, they found it easier to talk about support for acquisitions or even technology, and, indeed, the library had critical needs in both these areas. Midway through the campaign, we were informed by the administration that the last year of the campaign would focus on the library, since it was recognized that our goal had not been getting adequate attention. Although this was good news, we were now "under the gun" to raise the most money possible for our most urgent needs in a limited period. It seemed evident that our preservation goal would have to be sacrificed—temporarily—to help insure that other, more urgent priorities were funded. It was at this point that Samuel A. Streit, Associate University Librarian for Special Collections and the library's chief liaison with development, suggested that we consider a National Endowment for the Humanities (NEH) Challenge Grant for Preservation, once the university campaign concluded. The idea was a felicitous one for Brown in a number of ways.

Brown University had a good track record with NEH, having had two previous, successful Challenge Grants—both for the library. The University Library's first Challenge Grant, in 1978, was for $525,000 to raise funds to renovate the John Hay Library. Brown raised the required $1,575,000 match on schedule. Later, in the early 1980s, the library prepared a second Challenge Grant proposal, requesting a $1 million grant to drive fundraising for an endowment for humanities collections. The proposal, viewed as innovative at the time, was funded at $750,000 and was successfully matched on a three-to-one basis, with the campaign actually concluding a year early.

The library took considerable pride in its success with Challenge Grants, first because the administration's willingness to approve the proposals demonstrated a deep commitment to the library. In addition to the fact that gaining a NEH Challenge Grant obviously mandates attention and effort from the institution's fundraising staff, to the inevitable exclusion of some other priority, an institution may only have one Challenge Grant at a time. Since Challenge Grant campaigns are generally five years in duration, no other part of the university can apply for a similar grant during that period. Furthermore, after a Challenge Grant effort is concluded, there is a mandatory interregnum of several years before the institution may apply for another grant. Hence, a university's decision to approve a Challenge Grant application represents a commitment to one priority, and a choice *not* to proceed with something else.

We also cherished our record with NEH Challenge Grants because the success of the fundraising proved that it *was* possible to raise serious money for libraries—a fact that development offices are too often inclined to doubt. As someone once noted about the prospect of hanging, Challenge Grants wonderfully focus the mind, guaranteeing the attention of the president and provost, the concentrated effort of the development office, and access to the institution's most important donors, all essential ingredients for major fundraising. Once publicly committed to a NEH Challenge campaign, universities do not view failure as an option.

Thus, when the idea of a third Challenge Grant was first mentioned, we had the advantage of knowing that we had the experience to write a good proposal for NEH; that our chance of gaining university support was excellent; and that, if the Challenge Grant was funded, development would move heaven and earth to raise the money. With this background in mind, Sam Streit and I ran the idea past the Senior Vice President for Development, Ann W. Caldwell, who approved it in theory. At the time, it was likely that her first reaction was relief that an existing campaign priority was now being de-emphasized. However, armed with the knowledge that development did not oppose the concept of a third NEH Challenge Grant, Library staff began working on the core of the proposal to identify exactly what Brown hoped to do with the income from the endowment, which a successful fundraising campaign would create.

As one gains experience in grant writing, one learns two important lessons about preparing a successful proposal. First, a proposal should describe a project or program that can actually be implemented. It must be realistic in terms of projected resources, timelines, staff capacities, and outcomes. NEH panelists are experienced and astute and will easily spot a proposal that is unfeasible to execute. Besides, it hardly makes sense to raise money for a program that will come to grief because it is unrealistic, overambitious, or based on technologies which are not yet "ready for prime time." Second, the best proposals will speak to the heart of a funding agency's mission and excite agency staff, as well as the panelists who serve as readers for the program. For NEH, we realized that it was essential not only to demonstrate that preserving Brown's humanities collections served the national interest, but also to present Brown's proposed program as a new model that could be adopted by other institutions with similar challenges. In the Act of Congress which created NEH, it states: "To fulfill its educational mission, achieve an orderly continuation of free society, and provide models of excellence to the American people, the Federal Government must transmit the achievement and values of civilization from the past via the present to the future, and make widely available the greatest achievements of art."[2] In our grant proposal, Brown would need to demonstrate how our project played a part in NEH's mission to "transmit the…values of civilization from the past via the present to the future."

Three Brown librarians, Frederick C. Lynden, Associate University Librarian for Technical Services; Eric C. Shoaf, Head, Preservation Department; and Samuel A. Streit began work on the proposal in the early spring of 1996, intending to have a final proposal to NEH by May 1 of that year. At the same time, the university librarian cleared the idea through the remaining administrative channels (e.g., the president and provost). This was essential for two reasons, the first being that, as noted earlier, only one NEH Challenge grant may be submitted at a time; it was important for the library to serve notice that we wanted to submit one and to obtain clearance to do so. At the same time, through these conversations I could apprise senior administrators of the fact that NEH does not provide Challenge Grants for the purpose of raising funds for budget relief; the new endowment built through the proposed campaign would be expected to support new and broadened preservation activities, not underwrite existing ones. Because many universities view new endowment income as a natural resource that frees up institutional funds for other uses, Brown's senior administration needed to recognize at the outset that the university would not be obtaining any budget relief from this particular campaign. Happily, President Vartan Gregorian approved both the idea of a Challenge Grant for preservation endowment and the fact that the income it generated would be incremental to the library budget.

On March 27, 1996, Eric Shoaf and his colleagues submitted a rough "concept paper" for the grant proposal. The group suggested a "triple threat" approach. First, Brown would propose to target discrete subject areas for preservation/conservation treatment, areas "containing materials which are not only important to scholarship here at the university, but which as a whole are recognized nationally as important collections in the humanities…".[3] Second, Brown would apply a wide range of treatments to materials in all formats. Approaches would range from creating preservation surrogates for brittle paper, to deacidification, to "using digital technology to restore lost source material" on magnetic tapes. Finally, Brown would propose to *treat all new acquisitions for the targeted collections as well as materials we already own.* As Eric Shoaf wrote in the concept paper, "I am not aware of any other institution which is surveying and applying treatments for new materials they receive whether a new purchase, gift, new, or old publication. Most preservation efforts concentrate on collections already held and within these collections only on the materials in the worst condition. We would propose to treat ALL materials in the selected collections including new receipts."[4] Thus, Mr. Shoaf summarized, Brown's program would use new technologies currently available while committing to the use of further technologies as they developed. Furthermore, Brown would "create a model preservation program which others can follow by developing a system where all new acquisitions in important collections are surveyed for preservation needs and provided with the treatments necessary."[5] As university librarian, I had been involved in earlier discussions about the project and had been concerned about a lack of "distinctiveness" or "model" quality in our proposed program; with this new version, I felt assured that Brown had both a workable project and an exciting grant proposal.

Eric Shoaf's March 27 memo projected a budget of $2 million, with Brown to raise $1.6 million against a $400,000 NEH challenge (because this would be our third NEH Challenge Grant, the university would be required to raise four dollars for every one given by NEH). By the time a full draft proposal was submitted to the university librarian at the end of April, the funding requested had increased to $700,000 with a required match of $2.8 million. This increase resulted from a more realistic appraisal of the likely costs of the program we proposed. The completed proposal projected annual endowment income of $175,000: $65,000 for two additional Conservation Specialists and $110,000 for book deacidification services, book repair, rehousing, and reformatting of materials.

A NEH Challenge Grant proposal must provide background information about the parent institution (mostly boilerplate obtainable from various university sources) and a section detailing the institution's commitment to and support of the humanities. For obvious reasons, the proposal also included a summary of the Brown University Library's existing preservation resources and a lengthy chapter on the library's collections as "an international scholarly resource."[6] The preservation plan followed, fleshing out the tripartite approach outlined earlier in this chapter and indicating estimated annual cost for each activity. Important sections of the proposal were a brief justification of the need for the new endowment and a lengthier section outlining our success with previous NEH Challenge Grants. Appendices to the proposal, in addition to the usual resumes of key participants, included a list of Brown University Trustees, the library's mission statement and long range plan (which specified preservation as a priority), a list of the membership of the Brown University Corporation Campaign Steering Committee, and letters of support from prominent scholars at Brown and elsewhere. Library staff prepared these sections of the proposal.

A critical chapter in the proposal, however, was the section on "Meeting the NEH Challenge Grant," which had to be prepared by staff in the development office. It was at this point that we ran into our first political or bureaucratic obstacle, arising from our own failure in communication. Because the senior vice president for development had approved the idea of a third Challenge Grant earlier in the campaign, the library forged ahead under the impression that development was informed about the grant and prepared to support it. However, as the proposal began to firm up, someone in the library should have informed development formally that the Challenge Grant was moving from "theory" to "reality" and to ask for their input on the dollar goal, among other things. As a result of simple oversight—nothing more complex—no one did. Although the senior vice president may have mentioned the Challenge Grant idea to her staff at some point in the past, it had long been forgotten by the spring of 1996. As a consequence, the first time that development heard about the Challenge Grant—from their point of view, at least—was when library staff contacted them in April 1996 to ask them to write the "Meeting the NEH Challenge Grant" section. The short notice compounded development's irritation; the proposal had to arrive at NEH by May 1, 1996.

The situation presented the university librarian with two problems: first, the wounded sensibilities of the development staff had to be soothed; and, second, the vice president for development had to be persuaded to "sign off" on the library's desire to ask NEH for $700,000. It was her staff, after all, who would have to raise the $2.8 million that a successful grant would mandate! Fortunately, it was possible to address the problem by one phone call to the vice president for development, during which I used a strategy that should be employed more often in organizations: I apologized profusely, admitted that the fault was ours, and begged for her understanding and, indeed, mercy. As I put it later to the library staff who had worked on the proposal, "I groveled." Fortunately, although the vice president for development was genuinely and, no doubt, legitimately annoyed, she ultimately agreed to have her staff prepare the crucial section and, more critically, approved the $700,000 "ask."

Development's section on "Meeting the NEH Challenge Grant" confirmed the library's role in the university's capital campaign, outlined a timetable for fundraising based on NEH guidelines, specified the responsible administrator in development who would oversee the effort (Ronald Margolin, then Associate Director of Corporations and Foundations), and gave a brief outline of the approach that Brown would take to raising the money. It indicated that lists of alumni, parents, and prospective friends of Brown had been screened for new prospects and that "a number of individuals whose potential had been previously unrecognized were identified."[7] This was an important point because one of the purposes of NEH Challenge Grants is to generate *new* sources of income for an institution. Indeed, during Brown's second NEH Challenge Grant, NEH guidelines required that a substantial amount of the money come either from entirely new sources or from individuals who had given to Brown but not to the library. Development's section of the proposal also stated that major solicitations would be made to corporations and foundations, and that "the Library and the Development Office plan to sponsor a series of public events which focus on the strengths of the humanities at Brown and the importance of meeting the NEH Challenge."[8]

Brown's Challenge Grant proposal went to NEH on May 1, 1996, and NEH confirmed its receipt on June 21, 1996. From that point on, all we could do was wait and begin strategizing about how we would achieve the first year's match (due by July 31, 1997) if our proposal was approved. On November 21, 1996, I received a phone call from NEH program officer Lynn White, informing me that NEH was granting Brown University $625,000, against which Brown would be required to raise $2.5 million by July 31, 2000. Much to my delight, she stated that NEH panelists had given our proposal "straight wonderfuls," which was rare, and that the project was seen as an opportunity for Brown to exert leadership among the library community in the preservation area. She also informed me about one significant change in NEH policy that would increase the level of difficulty for making the match. In the past, if an institution failed to make the required match in a given year, *it could simply request an extension. Even* when the final deadline came, it was possible to request more time to raise necessary matching funds. Unfortunately, this left NEH sitting on large amounts of money that had been promised to but not yet collected by Challenge Grant awardees. Feeling that this action was unwise given the vagaries of government funding and congressional support, NEH had changed its policy, so that failure to make the required match in a given year would result in "forfeiture" of the equivalent portion of that year's NEH award. Furthermore, it was unlikely that an extension beyond the final deadline of July 2000 would be granted.

Despite these cautions, I was delighted to accept the NEH award on behalf of the Brown University Library. The formal award letter, dated December 2, 1996, spelled out the details of the grant. To receive the respective offers, Brown would be required "to certify receipt of $275,000 in gifts by July 31, 1997, receipt of an additional $1,000,000 by July 31, 1998, and receipt of an additional $700,000 by July 31, 1999."[9] As is the custom with NEH grants, the starting date for the grant was deemed to be December 1, 1995, prior to the date of the application (NEH assumes that an organization has begun fundraising for its objective before submitting a proposal). My letter of acceptance, with a budget revised to reflect the $625,000 award, was sent to NEH on December 27, 1996, and acknowledged by the Endowment on January 14, 1997.

Perhaps our actual first step in raising money for the Challenge Grant was in designing the news release announcing the award, which was timed to coincide with NEH's own press release. Brown's press release emphasized the uniqueness of the award, the contribution the new endowment would make not only to Brown, but also to the national scholarly community, and the fact that the Brown plan was viewed by NEH as a model for other institutions. The areas of strength that would receive preservation focus in the plan were listed. Through the press release, which was distributed on December 19, 1996, and received attention on campus and in the local and national media, the university drew attention to the importance of the campaign and began to educate potential donors about its significance.

As Brown's Challenge Grant was being publicized to the world, we began to address the myriad internal details that required attention if the campaign was to succeed. NEH's publication *Administration of Challenge Grants*, which had accompanied the formal award letter, was reviewed by key staff in the library and photocopied for development. This publication is important because it not only specifies critical deadlines throughout the grant period—such as when financial and narrative reports are expected—but also provides detailed information on what kind of gifts are eligible under the Challenge Grant program. Marketable securities, for example, may be donated towards the Challenge if they are valued as of the date of transfer from donor to recipient, but bequests are ineligible. It is extremely important that all parties involved in a NEH Challenge Grant campaign, especially those who will be talking to donors, be aware of these restrictions, since failure to understand them could put the match at risk and, moreover, risk offending a donor who had been misinformed. Throughout the course of the campaign, up to and including the last year, *Administration of Challenge Grants* was referred to both to remind ourselves of deadlines and reporting requirements and to respond to questions from development.

Early in January 1997, Ron Margolin, who had overall responsibility within development for the Challenge Grant, brought "Team Library" together to begin detailed planning for Challenge fundraising. Team Library, which had been formed for the university's capital campaign, consisted of individuals from various sectors of development, as well as Sam Streit and myself. Other individuals were invited to attend as necessary. During the month of January, Team Library drafted an *NEH Challenge Primer*, summarizing basic grant information for concerned staff, shared grant information with the gift accounting and gift planning offices, and scheduled a presentation on the Challenge for a full fundraisers meeting. Work was also begun on a timeline and fundraising strategy and on an information packet to be distributed to development staff. During this same time frame, the university librarian requested that the Office of Research Administration set up an "Advance Account" for the grant, so that funds could be deposited as soon as they began to arrive.

Brown's first matching goal for the Challenge was $275,000, which had to be certified by July 31, 1997. Development had made the decision not to kick off serious fundraising on the grant until the fall of 1997, in order to complete some existing capital campaign goals, add additional fundraisers to the staff, and take advantage of the library's Three Millionth Book celebration (which was scheduled for October 1997). Fortunately, one of the library's major donors, Paul R. Dupee, Jr., stepped forward with $275,000 to meet the first year's deadline. Mr. Dupee was a strong library supporter—he had earlier given the money that purchased the library's Innovative Interfaces software for our online catalog—and he had known about the NEH Challenge for preservation since the "idea" stage. Indeed, although he was supportive, Mr. Dupee had expressed concern about whether the university could meet so large a challenge for a need as esoteric as preservation of library materials. In spite of his concern, his willingness to commit to a gift for the first year's matching goal was critical, since it signaled the importance of the effort to other donors of his caliber. More urgently, it also removed some of the pressure on development between November 1996 and June 1997.

Brown now faced the toughest year of the Challenge, since $1,000,000 had to be raised by July 31, 1998. At this point, it makes more sense to tell our story not chronologically, but strategically, in part because numerous complex efforts began to move forward simultaneously on a number of fronts. In November 1997, senior development administrators made the decision to designate Julia Emlen, then Associate Director of Principal Gifts, as the person responsible for marshalling development resources to meet the Challenge. Ms. Emlen's role, crucial in a development office with more than 100 staff, was not only to review prospect lists for possibilities, but also to keep her colleagues informed about the Challenge guidelines and to encourage "prospect managers" to identify individuals who might donate. She also served as a "conduit" between the library and development, making sure that key library staff members were kept up to date on plans, progress, and problems; and relaying library concerns back to her colleagues. When it came to looking for sources of matching funds, Julia's net spread wide, across alumni, parents, and "others"; and her role required her to inspire, cajole, and develop strategy.

At Brown it is not customary for the university librarian or other library staff to approach donors directly for money; our role more commonly focuses on cultivation and strategy. Typically, I will approach someone about a gift only on the basis of a long-established relationship that makes me the most logical person to "do the ask." Nonetheless, in any fundraising effort the in-depth knowledge of library programs and donors that normally resides among senior library administrators is a valuable resource. Accordingly, on a regular basis Julia Emlen met with Sam Streit—and often with me—at the University Refectory to review progress and discuss strategy. These meetings incorporated not only detailed discussion of specific individuals, their capacity for giving, and the optimum way to approach them, but also ideas about broader tactics (e.g., programs, approaches to foundations, groups, etc.). For example, a December 19, 1997, email from Julia Emlen to Sam Streit outlines a variety of ideas and approaches (donor names have been changed):

- MET and Sam will review the Corporation (Board of Trustees) Library Committee membership and send out letters spelling out the terms of the challenge. We can set up meeting post to ask for gifts as appropriate. We'll use this opportunity to invite John Smith for a visit in February. Also need to consider the Friends of the Library Board which has a meeting on April 17.
- I will work with MET to figure out how to approach Mary Jones and Jane Smith.
- Bill Bailey; a pal of (retired university administrator); SS suggests we approach (retiree) and talk with him about using Bailey to access music types; consider having Eric Shoaf (Head of Preservation) visit in NY with Bailey and friends:
- (Development staff member) is working on a reunion prospect for a $50K gift to set up a fund to support preservation of the Lincoln collection. If he comes to campus in January, we'll have Eric and Ann Dodge (Paper Conservator) give him a tour.

Such emails frequently served both as the agenda for our meetings and as a way of keeping track of our numerous objectives and assignments.

Julia Emlen's involvement was crucial in two other respects as well. At the time of the campaign, the required minimum to establish an endowed book fund was $10,000 and income from such funds went exclusively to acquisitions. Julia worked with library staff to redefine book funds so that, if a donor wished, a portion of the endowment could be designated for preservation of materials as well as for acquisitions. If this approach appealed to the donor, the amount of the endowment designated for preservation drew down money under NEH guidelines, advancing our campaign, helping to build the preservation endowment, and of course, crediting the donor with a larger gift. This innovative approach proved highly successful, in part because Julia made sure that her colleagues in development understood the new "twist" on endowed book funds. In addition, this Challenge Campaign initiative established a precedent for incorporating preservation support in endowed book funds in the future.

The library's most substantial donors, now and in 1996, were Artemis A.W. and Martha S. Joukowsky. Mr. Joukowsky, Class of 1954, was chancellor of the university in 1996; his wife, Martha '55, was and is a professor of Old World

Archaeology and Art at Brown. As we began the third NEH Challenge campaign, the Joukowskys' gifts to the library amounted to $3.5 million. In addition to establishing an endowed chair for the university librarian, the couple had been substantial donors to the second NEH Challenge campaign, putting a portion of their gift in the form of a personal challenge to other donors. Mr. Joukowsky, who had played a major role in the university's two capital campaigns and who chaired the Corporation Committee on Fundraising, was known to view challenges favorably as a fundraising incentive. Julia Emlen suggested that we propose another "challenge within the Challenge" to the Joukowskys on behalf of our current campaign. In March 1998, after a preliminary discussion with Mr. Joukowsky, Taylor and Emlen wrote the Joukowskys proposing an outright gift from Mrs. Joukowsky of $400,000, and a "challenge" from Artemis Joukowsky involving a minimum of $400,000. Mr. Joukowsky's Challenge was directed at The Friends of the Library and had several elements, among which were "$100,000 to the NEH Challenge, if 100% of the board participates with gifts or pledges (payable by 6/30/00) by June 30, 1998; an additional $100,000 to the NEH Challenge, if the board contributes/pledges a minimum of $200,000 to the NEH Challenge by June 30, 1998; anything above that total by June 30, 1998, Chancellor Joukowsky will match dollar for dollar."[10] The Chancellor's Challenge went on to establish similar goals for other Friends members and for types of donations (for example, "additional $50,000 to the NEH Challenge, if five $25,000 endowed acquisitions funds are established by board and members of the FOL by June 30, 2000."[11]

The Joukowsky Challenge, which unquestionably played a vital role in the success of our campaign, serves in itself as an exemplar of several "keys to success." First, it involved the leadership of prominent, respected, and persuasive university alumni/ae whose involvement confirmed the effort's importance in the university community. Second, the Challenge targeted a number of other important university figures who had the capacity to respond with significant gifts. Third, the Challenge to the board offered a wide choice of ways to succeed; while certainly large gifts were welcome, the key criterion was participation by 100 percent of the board. Donors of moderate means could take as much pride in helping to meet that goal as those who were able to give more. Finally, the Challenge did not neglect the "grassroots," since the entire Friends membership was also challenged.

In addition to the impetus provided by the Joukowsky Challenge, other approaches crafted by Julia Emlen, Sam Streit, and the university fundraising team contributed to the success of the effort. Donors were offered the option of contributing either to the large, central NEH Preservation Endowment, or of setting up their own named endowment, often to support a particular collection of interest to them. Thus, a donor who could not pledge as much as $10,000 to establish his or her own endowment could still be ensured of a lasting contribution to preservation via the larger, pooled fund.

Publications and events also played a part in the campaign strategy. As noted earlier, from the beginning of the effort, news releases and announcements of the NEH award alerted members of the widespread university community to the campaign and its purposes. As the NEH campaign advanced, potential donors and interested parties were kept informed of progress by articles in *Among Friends* (the

Friends of the Library newsletter), *BiblioFile* (the library's newsletter for faculty, staff and graduate students), and *Brown's Vanguard*, a newsletter published by development throughout the course of the university's capital campaign. In the July/August 1998 *Vanguard*, for example, a feature paragraph was headlined "Brown Enters Final Phase of the NEH Challenge Grant for Preservation." The article provided a short recap of the Challenge Grant's purpose and reported on success to that point. The news item concluded, "The endowment will be used to fund the preservation of Brown's humanities collections. The university is happy to provide tours of its preservation lab. If you are interested in a tour or in learning more about the NEH Challenge, please contact…."[12] Throughout the fundraising effort, short reminders of this kind helped keep the fire burning to invigorate the campaign.

During the university capital campaign, the development office and the library collaborated on an annual publication that was sent to the donors of major library endowments. The publication, intended as a combination annual report and stewardship document, typically focused on a particular aspect of the library's activities, from collection building to technology. Professionally edited and produced, these booklets included handsome illustrations, short insets about the contribution of particular donors, and a listing of all the library's current endowments. In 1998, the theme of the publication was *Preserving the Library's Resources for Today and Tomorrow*, and the four-page, illustrated central essay highlighted preservation challenges, provided information about the library's preservation and conservation units, and again called attention to the NEH Campaign. This publication did much, both to recognize the contribution of past donors and to spark the interest of those who had not yet given.

A variety of events were also used to draw attention to the NEH Challenge Campaign. Among them were presentations to key groups such as the Corporation Library Committee and the College Hill Society (made up of individuals who have Brown University in their wills). A team from the library offered a program on preservation at a breakfast meeting of the Corporation Campaign Steering Committee. The presentations typically involved an explanation on the importance of preservation to the library, and concluded with a presentation on the NEH Challenge. Often, attendees would receive a tour of the library's preservation facilities, with staff on hand to demonstrate preservation and conservation techniques and treatments. Routinely scheduled library events also provided an opportunity to bring attention to the NEH Challenge. The "fact sheet" on the Chancellor's Challenge was always displayed prominently with other library publications during Friends of the Library events, and the Challenge received attention during the university's celebration of the library's Three Millionth Book acquisition in October 1997 (a celebration timed to coincide with the fall Corporation meeting).

Thanks to all of these strategies and to the enthusiastic response of our community, $1.486 million was raised between July 1 and June 30, 1998, leaving us with $738,700 to bring in by July 1, 2000. By April 1999, Julia Emlen was able to report that "we have accrued in cash and pledges around $2.7 million against the NEH Challenge, meaning that we are able now to close out the challenge."[13] The university's final certification of gifts was submitted to NEH at that time, and was acknowledged by the Endowment on May 4, 1999.

Successful fundraising requires conscientious stewardship of donors. In addition, a NEH Challenge Grant requires that recipient institutions acknowledge NEH support both during and after the fundraising effort. In many cases, these two obligations overlap. *Preserving the Library's Resources for Today and Tomorrow*, for example, both emphasized the role of NEH in stimulating gifts to Brown and acknowledged donors who had already contributed. Other stewardship mechanisms also reflect NEH's leadership; donors who gave $50,000 or more to the Challenge effort will shortly have their names enshrined on a very prominent plaque in the lobby of the John D. Rockefeller, Jr., Library. A similar plaque already exists in the area, from our second NEH Challenge grant to support acquisitions in the humanities.

Members of the library staff have taken advantage of professional conferences and publications to spread the word about Brown's Preservation Challenge Grant. Eric Shoaf addressed preservation administrators on the subject at an American Library Association conference and published an article about the grant in the July/August 2000 issue of *College & Research Libraries News*.[14] The *Annual Report of the University Librarian*—which was routinely sent to members of the Association of Research Libraries, Boston Library Consortium, and Consortium of Rhode Island Academic and Research Libraries—contained up-to-date reports on the Challenge Grant and its objectives.

As the preservation program has expanded, fueled by the additional funds generated by the new endowment, we have striven to maintain the NEH connection in other ways, some modest and some more "splashy" and visible. Our new professional preservation librarian, whose position is funded by the endowment, carries the title of "NEH Preservation Librarian." A sign on the door to the preservation area now reads, "NEH Preservation Endowment Workroom." Most recently, we distributed over 2,000 spill-proof mugs with a colorful logo that reads, "The NEH Challenge Grant for Preservation;" the other side of the mug says "Preservation for the Past, Present, Future." These mugs were given out during freshman week to incoming first-year students, parents, library staff, and others to general enthusiasm. We also sent a number of the mugs to our friends at NEH, who responded very positively. On receipt of the mugs, Senior Program Officer Elisse Wright wrote to the university librarian, "Thanks so much for the very attractive mugs acknowledging the NEH Challenge Grant to the Brown Library. Your gift was extremely timely. It arrived in the middle of our National Council meeting where we had already highlighted Brown's efforts to publicize this successful endeavor. The mugs provided still more proof of Brown's outstanding commitment to this process and both the chairman and the deputy chair were suitably impressed. Congratulations, again, on the completion of your challenge grant." We were delighted to learn that NEH was as pleased with us as we were with them![15]

Like our two previous NEH Challenge Grants, the NEH Challenge for Preservation has had lasting impact on the Brown University Library in a number of ways. Obviously, because the campaign was for endowment and for incremental support for a crucial aspect of collection management, the future of our preservation program has been assured. Second, the additional funds made possible by the NEH endowment allowed us to broaden the scope of our preservation effort in terms of number, variety, and breadth of materials treated. The materials preserved by Brown will remain in existence for the benefit of future generations, but in addition the knowledge gained by Brown University Library staff as they work with these endangered items is a "shareable" resource. We believe that the profession as a whole will benefit through the innovative approach to preservation made possible by this grant.

Finally, the NEH Challenge for Preservation has left its mark on fundraising. As Challenge grants are intended to, our effort uncovered some new donors and made additional friends for the Brown University Library. We expect that many of those individuals will donate again to the library, for related or other initiatives. In addition, Brown's proposal to NEH demonstrated that the agency would commit funds to preservation outside the strict boundaries of the NEH Preservation Program, a fact that we hope will be noted by colleague institutions. Beyond that, however, this NEH Challenge Grant clearly demonstrated that raising money for a library, even for something as esoteric as preservation, is more than possible if the institutional commitment is there. The secret of Brown's success in meeting the NEH Challenge for the library is not that we have an exceptional number of book lovers among our community, or even an exceptional number of wealthy alumni/ae; it is that the university administration was fully behind the effort and transmitted the importance of success to the development office. Meeting the NEH Challenge was not a library priority; it was a Brown University priority. That, unquestionably, is the not-so-secret ingredient in all successful fundraising.

[1] Office of Public Affairs and University Relations, *Facts About Brown* (Providence, R.I.: Brown University, 2000), 20.

[2] 20 U.S.C. 951. Enacted Nov. 5, 1990, P.L. 101-512, sec. 101, 104 Stat. 1961. (From the National Endowment for the Humanities web page.)

[3] Memo, Eric Shoaf to Merrily Taylor, "Preservation Challenge Grant," March 27, 1996.

[4] Ibid.

[5] Ibid.

[6] Brown University Library, "A Proposal to the National Endowment for the Humanities: Enhancing and Preserving the Humanities Collections at Brown University" (Providence, R.I.: Brown University Library, 1996), 13.

[7] Ibid., 22.

[8] Ibid., 23.

[9] Sheldon Hackney to Sara Clabby, December 2, 1996.

[10] Memo, Merrily Taylor and Julia Emlen to Artemis A.W. Joukowsky and Martha Sharp Joukowsky, "Joukowsky Gift and Challenge for Library Preservation," March 31, 1998.

[11] Ibid.

[12] Brown University Development Office, *Brown's Vanguard*, (July/August 1998): 2.

[13] Email, Julia Emlen to Merrily E. Taylor, April 19, 1999.

[14] Eric Shoaf, "Brown University Meets the Preservation Challenge," *College & Research Libraries News* 61 (July/August 2000): 7.

[15] Elisse Wright to Merrily E. Taylor, November 20, 2000.

Chapter 4

Raising Money for a New Library: A Successful Kresge Challenge Grant

Meredith A. Butler

In July 1998, the University at Albany was building a new library and needed to raise $3.5 million to complete the project. When Albany's Director of Corporate and Foundation Relations, Dr. Carol Bullard, proposed the idea of applying for a Kresge Foundation Challenge Grant to raise the much needed funding, I was wise enough not to express my initial reaction, which was one of skepticism at the impossibility of success. At that time, the University at Albany had a very brief history of fundraising, having completed its first university capital campaign in 1996. The Campaign for Albany had a goal of $55 million and reached its conclusion three years ahead of schedule and $300,000 over goal. However, the University's campaign had only modest impact on the Libraries, because its focus was support for outstanding faculty, enrichment of student life, research development, and facility enhancement. Now, the Libraries were faced with the necessity of raising several million dollars of private funding in a short time and had no track record of library fundraising success on which to build.

The following case study tells the story of how an institution with a short and slight history of raising any funds—and no prior experience in raising large sums of money for its libraries—launched an ambitious $3.5 million Campaign for the Libraries using a Kresge Challenge Grant as the centerpiece of the campaign and brought it to a successful conclusion in 18 months, exceeding the original fundraising goal by more than $302,000.

About the University at Albany

The University at Albany, established in 1844, is the oldest state-chartered public institution of higher education in New York. Designated as one of the four University Centers of the State University of New York, Albany has a broad mission of undergraduate and graduate education, research, and public service.

Approximately 17,000 students are enrolled in eight degree-granting schools and colleges of the university. Although private philanthropy has been a long-standing tradition at Albany dating back to the first donation of $500 to the Normal School in 1845 to purchase library books, an active fundraising program with a full-fledged professional staff established for the purpose of raising significant private support has been in place for fewer than fifteen years. In response to a dramatic reduction in state support in the past decade and a half, the University at Albany stepped up to the challenge and began to move aggressively to identify and obtain the funds necessary to support its academic programs.

Albany's short history in fundraising has put it at a distinct disadvantage compared to other public and private institutions with a long history of raising private dollars. Moreover, many Albany alumni, friends, and supporters are still surprised to learn that Albany receives only 23 percent of its total budget from New York State. Nevertheless, in the early 1990s, Albany's list of fundraising accomplishments began to grow and culminated in the success of the Campaign for Albany. Even though the goal of the Campaign for Albany was quite modest by today's standards, in 1996 it was the largest and most successful capital campaign in the history of New York State public higher education.

About Albany's Libraries

Albany's University Libraries operate within the context of a national ranked public research university gaining visibility for the strength of its undergraduate program and the excellence of its graduate programs. The libraries are an integral part of the educational and research programs of the university and participate actively in its service mission. The libraries manage a complex technological and information-rich environment and are responsive to the needs of diverse populations. In collaboration with others, the libraries provide an array of services, collections, and access tools to support research, teaching, and learning, including distributed access to a vast body of electronic resources available via the campus network and World Wide Web.

Until September 1999, Albany's libraries were housed in two facilities on two campuses. They form a unified library system with a common mission and set of goals as laid out in the library's most recent *Strategic Plan 1999-2004*. The University Library on the main campus and the Governor Thomas E. Dewey Graduate Library for Public Affairs and Policy on the Rockefeller College Campus contained more than 1.9 million volumes, subscribed to more than 16,000 serials, and provided access to nearly 2.7 million microform items. In September 1999, the libraries opened the first new academic building to be built on Albany's main campus in its thirty-three year history. This building housed the libraries' science and technology collections, the M. E. Grenander Department of Special Collections and Archives, the Library Preservation Laboratory, and the Center for Excellence in Teaching and Learning. It added 142,430 net square feet of space to Albany's libraries, provided seats for 500 users, and contained much needed expansion space for the growth of library collections. The space retrieved from the removal of collections and services from the University Library permitted the decompression of collections and the redesign of services to fully integrate technology and increased user seating by 350 seats.

The $26 million New Library (unnamed as of this writing) was designed as a complex interplay among customary library and teaching/learning settings. An electronic library with a rich array of instructional technology, it offers an innovative electronic teaching/learning environment to serve the university, as well as the citizens of New York State. Its design incorporates advances in computing and telecommunications technologies, particularly as they pertain to research and teaching. This new building fosters new educational partnerships by bringing together faculty, librarians, and computing professionals to engage in collaborative work. Most importantly, it offers opportunities for the delivery of instruction, information, and new knowledge to those who need it, regardless of their location. The services, facilities, and equipment in the building assist researchers with the generation of new ideas, faculty with new methods of teaching, and students with multiple options for learning.

Our Fundraising Need

In March 1998, I worked with a committee of administrators to determine the final price tag for the construction, furnishing, and equipping of the New Library and the renovation and rehabilitation of the University Library. We determined that we would need an additional $3.5 million in private support to complete both projects and that we would need the funding by the end of 1999, when construction of the New Library would be completed.

Launching the Campaign

The planning for Albany's Campaign for the Libraries began in April 1998, during a meeting of the University Libraries Development Committee, a group of alumni I had assembled a year earlier to assist the libraries with fundraising. The university's Director of Corporate and Foundation Relations, Dr. Carol Bullard, and her staff had been invited to attend the meeting to discuss how committee members could assist the libraries to raise funds for the completion of the New Library and the renovation of the University Library. She had investigated the Kresge Foundation's Challenge Grant Program and proposed that the university compete for a Kresge Challenge Grant as a way of focusing the Campaign for the Libraries. She emphasized that the Kresge Foundation is one of the few foundations that provides support for higher education capital projects. According to its program documents, the Kresge Foundation supports capital projects for both new construction and renovation of existing buildings at both public and private universities. The goal of the Challenge Grant Program is to assist an institution to build its total fundraising capacity, rather than simply to support a worthy project. Dr. Bullard's proposal outlined in considerable detail how the university might raise the needed $3 million over the next 18 months through a combination of annual giving, corporate and foundation gifts, gifts from parents and major donors, and planned gifts; and, in so doing, satisfy the requirements for a $500,000 Kresge Foundation Challenge Grant.

Committee members were immediately enthusiastic about the proposal, though daunted by the enormity of the sum to be raised. To put it in perspective, the university had raised about $100,000 for the libraries in 1997 through the Annual Fund and our endowment was at a mere $130,000 in 1998—all of which had been raised in the previous seven years. As the director of libraries, I had no experience in fundraising and no staff to devote to this enormous undertaking. The odds seemed overwhelming, but I made the immediate decision to be both positive and optimistic about the proposal and its ultimate success, and I never looked back. The University Libraries Development Committee endorsed the proposal, and the Campaign for the Libraries was born that day.

In subsequent meetings with the university president and the vice president for university advancement and his staff, the president determined that the Campaign for the Libraries would be the university's priority fundraising project for 1998–99. The importance of this decision cannot be overstated. The president's involvement and support was absolutely essential to the campaign's success. By giving the library campaign top university billing, the president opened the door for the involvement of development staff and access to potential class gifts, and major donor prospects. She also made a commitment of her personal time to solicit major gift prospects for the libraries.

The Kresge Challenge Grant Program

Institutions that wish to compete for a Kresge Challenge Grant must go through a rigorous application process as the first and necessary step in the competition. Given the $3.5 million we needed to raise to complete our New Library and fund the renovation of the University Library, we determined that a challenge grant of $500,000 was an appropriate amount for which to apply. Because our New Library was already under construction, we were faced with some serious time constraints. Kresge will only consider projects that are in the early stages of implementation or are underway. It does not provide a challenge grant to a project that is completed. Our campaign was divided into four phases with very specific fundraising goals and deadlines as indicated below.

1. **April–August 1, 1998:** This was the silent phase before submission of an application to the Kresge Challenge Grant program. During this period, the university was advised to raise at least 25 percent of the total goal in order to be considered by the Kresge Foundation. We raised $800,000 or 26 percent of the goal.
2. **August 1–November 30, 1998:** During this period while our application was under review by the Kresge Foundation, Albany had to show momentum in our fundraising. We set our goal at raising an additional $800,000 for the campaign and came within $40,000 of reaching the goal.
3. **November 30–December 15, 1998:** This was a critical stage in which we continued to raise funds and report our progress in considerable detail to the Kresge Foundation. We were successful in reaching all of the specified goals by the deadlines.
4. Kresge informed us on December 20, 1998, that, **conditional on our raising the balance of $1.4 million by December 31, 1999, the Foundation would grant us a $500,000 Challenge Grant at the end of the campaign.**

Developing the Campaign Infrastructure

Once the campaign was officially launched, we had to develop its infrastructure in short order. I crafted descriptive prose and prepared pages of boilerplate describing the New Library, its facilities and services, and its impact on Albany's students and faculty. This descriptive text and generic prose was used for the library's case statement, major donor proposals, grant proposals, solicitation letters, etc. Thank heavens for the flexibility of wordprocessed text that allowed me to adapt generic text to the specific needs of the moment throughout the campaign. In addition to the case statement, my secretary and I created a very nice and inexpensive brochure showing the layout of each of the five floors of the New Library, with a description of its facilities and services, and the location of spaces on each floor that were naming opportunities in the campaign. University advancement staff and I used this brochure extensively throughout the 18 months of the campaign as we met with donor prospects, alumni reunion classes, parents, faculty, and the Friends of the Libraries. We also created some inexpensive bookmarks with the architect's drawing of the New Library on the front to send to Annual Fund donors. I would have loved to have had a die-cut model of the building made into cards for donors (like the three dimensional birthday cards of merry-go-rounds or something similar), but that idea proved to be beyond our very modest fundraising budget. For those who can afford it, I think it is a wonderful way to generate interest in a new building.

Developing a list of naming opportunities and gift levels was also something that I had to do immediately at the beginning of the campaign. Naming opportunities were a new experience for both the university and for me, and it took a great deal of consultation with university administrators to establish the necessary policies and the appropriate levels of giving for each named space or item. The resulting list included a range of naming opportunities—$5 million to name the building; $300,000 to name a major room; $200,000 to name the Preservation Laboratory; $100,000 to name the Special Collections Research Room; $75,000 to name a seminar room; $50,000 to name a digital classroom; $20,000 to name a group study room; $20,000 to name a service desk; $5,000 to name a library stack tier; $3,500 to name a study table; $2,500 to name a study carrel or a lobby bench. I also created a list of naming opportunities for the spaces that we planned to renovate in the University Library following the completion of the move of selected collections and departments to the new building. We had some success with naming opportunities in the University Library, but the real draw was, of course, the new building. One of the important lessons of fundraising I learned from this experience is that most donors want to be associated with the new, exciting, and highly visible priorities of the university.

At the same time we were preparing our campaign materials and list of naming opportunities, we were developing our committee infrastructure and identifying its leadership. We created a fundraising infrastructure of five groups to support the Campaign for the Libraries. The Friends of the Libraries, a group of generally senior alumni that had existed for many years, were quite enthusiastic about the campaign and agreed to work actively to solicit gifts and pledges from alumni and retired faculty and staff. Members of the University Library Development Committee made individual major gifts to the campaign and also agreed to solicit gifts from specific individuals. These solicitations were closely coordinated with development officers in university advancement and with me.

Since one of the goals of the Kresge Challenge Grant Program is to assist an institution to broaden the base of its private support, it was both necessary and appropriate to expect that Albany's faculty would give to the campaign. I asked two influential faculty members, one male and one female, to serve as co-chairs of a faculty-focused campaign committee; and they, in turn, worked with me to create a very strong committee of faculty donors, each of whom would be asked to give an outright gift of $1,000 or more or make a pledge of this amount to be paid over three years. Although Albany faculty had been solicited through the Annual Fund for a number of years, only a small percentage of them had ever given to the university. Solicitation of faculty for a major campaign such as the Campaign for the Libraries had not been done previously and we had some concern about the faculty's response. The faculty committee co-chairs wrote fundraising letters to all full-time faculty in October 1998 and again in March 1999. These letters were followed up with more personal solicitations by members of the faculty committee. I attended every committee meeting and also led interested faculty on several hard-hat tours of the New Library, while it was under construction. I am very pleased to say that faculty gave in record numbers to the library campaign. It was especially gratifying to me when faculty told me they were giving to the campaign because of the excellent service they received from the library, or because they valued my leadership of the libraries. The funds raised from the faculty represented five percent of the total campaign goal. It was also significant that a larger percentage of the faculty gave a gift to the campaign. Faculty and staff giving to the university increased five-fold during the years of the library campaign. Thus, the campaign stimulated faculty giving, not only to the library, but also to the university overall.

Once the professional staff of the university learned of the campaign appeal to faculty, several staff members asked if they could solicit their colleagues on behalf of the Campaign for the Libraries. Of course, I said yes, and a new fundraising committee—the sixth—was born.

University advancement staff worked with me to create a University at Albany Foundation Library Campaign Committee. A group of 15 volunteers from the Foundation Board agreed to serve on the committee and generally did so with energy and enthusiasm. Members of this committee focused on identifying and soliciting major donors and had access to the corporate and political arenas that proved invaluable to the success of the campaign.

I also created a University Libraries Library Campaign Committee. I asked senior librarians and staff to serve on it and explained to them that they should not necessarily focus on the amount of money to be raised, but rather on increasing the percentage of the library staff who contributed to the campaign. I encouraged the members to solicit their library colleagues and to think of innovative ways to raise money, but not to get caught up in planning special events that would drain their time, energies, and resources and produce only modest results. This committee proved to be quite creative and resourceful. They teamed up with other groups and focused their promotional efforts around traditional events such as the annual Friends of the Libraries book sale, the Heart Association's walk-a-thon, Alumni

Weekend, etc. Although they did not raise large sums of money, the active support of the library's staff in giving and soliciting others to give—their sense of "ownership" of the campaign—was important to the success of the campaign. In the end, the library staff raised enough money to have a stack tier named for them.

Needless to say, keeping all of these committees focused on their goals and on the fundraising timetable and coordinating their activities took a great deal of both my time and the time and assistance of development officers in university advancement. But as important as this work was, we knew that we had to reserve the majority of our time to identify and cultivate major gift prospects. Given the newness of the University at Albany's foray into development and fundraising, we knew at the outset of the campaign that we did not have a large pool of major donor prospects in the late stages of cultivation just waiting to be asked to contribute million dollar gifts to the university. Therefore, we chose as strategy for the campaign "Winning through a campus-wide coordinated effort."

The pattern of giving to our library campaign differed from the usual fundraising pattern. The percentage of gifts from corporations and foundations in our campaign was much higher than it would be at another university with a different fundraising history. University advancement staff went all out to identify local businesses, corporations where we had good connections, and foundations that fund public higher education projects. These proved to be very fruitful sources for us and ultimately accounted for 54 percent of the total funds raised (including the Kresge Foundation grant). Alumni were the second largest source of funds, donating 17 percent of the total money raised. Parents of current students were very generous supporters and provided 8 percent of the total funding, while Albany Foundation leadership gifts accounted for 6 percent, faculty and staff giving made up 5 percent, Friends of the Libraries provided 2 percent, and Class gifts and bequests made up 8 percent. In total, 3,061 donors contributed to the Campaign for the Libraries. Of these, 2966 were individuals, 22 corporations, 3 foundations, 4 service organizations (for example, the Albany Alumni Association), 8 Alumni class gifts, and 58 corporate matching gifts.

Critical to the momentum of any fundraising effort is securing large major gifts early in the process. We were fortunate to attract a large gift of $500,000 from Barnes & Noble as our first major gift. It not only helped us meet our first Kresge timetable goal, but also produced a good deal of publicity and raised the visibility of the campaign. I played a significant role in convincing the Barnes & Noble representatives that their interests and the library campaign were in consonance, and the news of their gift gave me confidence that I could be successful at this fundraising work.

We quickly received other major gifts from corporations and several from individuals. We received strong support from Albany parents, alumni class, and through annual giving, all of which helped us meet our first two fundraising goals for Kresge by November 30, 1998. During this period, I gave countless tours of the construction site—the groups replete with hard hats—met with individuals, groups, and committees, and told the library's story to anyone who would listen. Earlier in the summer, I had hosted a dean's luncheon for alumni and friends on a terrace overlooking the construction site. In November, the president hosted her annual President's Recognition Dinner (donor recognition and fundraising dinner) in the atrium of the New Library—still very much a construction site. Holding the dinner in a construction site was a nightmare for the caterers and the contractors, but it was a dream of an idea for our fundraising efforts. It raised the visibility of the library campaign among members of the business community and Albany alums. By December 15, 1998, we had raised in gifts and pledges the $2.1 million we had pledged to raise in our Kresge Foundation Challenge Grant application. On December 21st, Kresge informed us that our application was judged a success, and that **we had qualified for consideration for a $500,000 Challenge Grant, if we raised an additional $1.4 million by December 31, 1999**. It was a great way to end the year.

Frankly, the next year was a blur of committee meetings, events, tours, lunches, phone calls, and visits with donors. What I discovered about myself is that I really liked the people I met and the challenge of getting to know them. I was curious about them and their motivation for giving. It wasn't hard to match their interests to our needs. And because I liked the people and believed in what I was doing, I also liked the work of fundraising and proved to be good at it. Because I cared deeply about the libraries and their future, I found it very easy to tell the library's story with passion and ask people directly to support the campaign. I met with both success and failure. Sometimes I went away from a meeting with a prospect feeling that I had wasted my time. But more often I went away feeling that I had made a connection. Unfortunately, generally speaking, gratification was delayed. Only once in all the solicitations I made did a donor sit down and write out a check on the spot and that one was for $20,000.

Leadership takes many forms and carries with it both spoken and unspoken responsibilities. No one asked me to become a major donor to our campaign, but I felt early in the campaign that I couldn't ask others for major gifts, unless I also stretched my personal giving and became a major donor myself. I sought no naming opportunity or donor recognition for my gift but understood that it would be important for its symbolic value and as an example of my own commitment to the campaign. I am very sure that once my gift was publicized by the university's development office, it inspired others to stretch their giving as well.

All campaigns have their periods of greater activity and their downtimes. We made progress in fits and starts during 1999. The move of collections and staff and the opening of the building, postponed from July to September due to the inevitable construction delays, took my immediate attention for weeks at a time. The official grand opening of the New Library took place on October 19, 1999. We planned a "spectacular" event featuring Governor Pataki, our New York State political representatives, and Albany's Pulitzer Prize winning author William Kennedy. The theme of the event was "Building for the Future" and our fundraising needs to receive the Kresge Challenge Grant were front and center on the event program. We used the opportunity to tour donors and prospective donors, increase visibility, and build excitement. The event was a grand success, and donations kept coming in, but as the last quarter of the year proceeded, we were still more than $300,000 short of our goal.

Our Campaign for the Libraries benefited from three unique circumstances of time and place. The New Library was the first new academic building to be built on our campus in its thirty-three year history; thus, it had no competition with other capital fundraising projects. Its construction ushered in a new era of growth and development of our university, so it engendered a great deal of excitement and strong positive feelings. The second circumstance was that we were raising large sums of money from our alumni during a period in which the stock market was at an all-time high and people had, and felt like they had, the means to give money away. The third circumstance was that our campaign closed at the end of the millennium, in the midst of all the publicity about Y2K. In mid-November, our vice president for university advancement sent out his own Y2K letter—"Yes to Kresge"—to alumni, parents, and friends, many of whom had already made a gift to the library campaign. This last minute appeal at the end of the tax year was extraordinarily successful. Gifts—both large and small—simply came pouring in. By mid-December, we knew we had surpassed our goal of $3 million and informed the Kresge Foundation of our performance. On December 21, 1999, we heard that we would receive a Kresge Challenge Grant of $500,000 to complete our fundraising campaign. That was the best Christmas present I received!

What were the Keys to Success?

As I said earlier, the president's decision to make the library campaign the university's fundraising priority was essential to our success. My leadership and enthusiastic involvement in every aspect of the campaign was also a critical factor in our success. Although I had no development staff in the library, I did have the good fortune to work with a team of talented, knowledgeable, and dedicated colleagues in university advancement. Our teamwork and cooperation were also necessary ingredients to the success of the campaign. Our campaign was a university-wide effort. The contributions of time, energy, and money of each member of each campaign committee were vital. And even though we didn't raise any money from our students, we had great success with their parents. Parents of the University at Albany classes of 1999 through 2003 contributed more than $300,000 to the campaign. To recognize their generosity, we named the fountain in the library garden in front of the New Library "The Parents Fountain."

I learned many lessons about fundraising during the library campaign. Fortunately, most of the lessons were positive learning experiences. Fundraising is—as many people have said before—about building relationships, and those relationships must be tied to the substance of the goals and plans of your campaign or project. Making those connections and building those relationships mean that you have to enjoy the process of "cultivating" the donor; you must be more interested in the donor than in your project or program; and you must be a good listener. It is important to keep in mind that the relationship you are building with a donor is much more important than the gift you hope to receive. It is also important that you meet with prospects face-to-face as part of building the relationship. Fundraising is so time-consuming, if you want to be good at it, you have to spend a lot of time doing it.

I learned that it is easiest to raise money for an appealing and finite project, a project that has strong institutional support and significant visibility. People want to give to a "winning" and important project or program. They want to know that **what** they give to is connected to the whole and that **who** they give to is a "player" in the institution. I also learned that people give because they want to feel a part of something important and make a difference. My job as a fundraiser was to provide the opportunity for donor prospects to make a difference for Albany's students and then find out through a process of communication what would please the donor the most. Finally, I learned that people give because they want public recognition for their giving—their name on a room or a donor plaque. Donor recognition is a critically important part of fundraising and advance planning for it is essential.

Good stewardship is vital to the ongoing success of any fundraising program. Occasional physical visits must be supplemented with correspondence (email can be a great informal communication medium but should not replace more formal cards and letters). I look for ways to make connections between donors' interests and what is going on in the libraries or in the university and drop them a line, send them an invitation, or in some other way try to maintain contact. Hosting special events to honor donors, having student award recipients write to the fund donors, or sending a picture (print or digital) of a newly renovated space to donors who provided funding for the renovation are just some of the many ways you can thank donors for their support and build a lasting relationship with them.

Our library campaign was a catalytic experience for the libraries, for the University at Albany, and for me personally. We not only were able to open a beautiful and technologically advanced new library, we also raised enough money to complete the planned for renovation of our old and rather shabby University Library. The libraries gained significant increased visibility and respect throughout the university and the community. University administrators were impressed by the breadth and level of support that we were able to attract and I have no doubt that the experience of the library campaign has influenced the university's plans for a new capital campaign. My professional life has been enriched by the experience of fundraising. Before my experiences in fundraising for our library campaign, I couldn't have imagined either asking people for money or enjoying doing it. Now I know that I really like the work of fundraising, am good at it, and want to do more. I look forward with great anticipation to taking an active role in our university's capital campaign. My goal is to build on the solid foundation we have laid down and to nurture and cultivate the strong donor relationships that will ensure the future viability of Albany's University Libraries.

Chapter 5

Building Endowment through a Major Gifts Program

Paul A. Willis and Paula L. Pope

The University of Kentucky is a land-grant institution with an enrollment of approximately 24,000 students. The main campus, medical center, and a community college, with an additional enrollment of 6,000 students, are all located in Lexington. A full compliment of professional degrees is offered as well as degrees in 55 Ph.D. fields. The governor and state legislature have designated the university as the "flagship" institution of higher education and set a goal of achieving "top 20" status for the university by the year 2020.

The libraries on the University of Kentucky campus are centralized administratively, but there is a long history of decentralized branch collections. The UK Libraries fall at about the mid-point in most of the ARL statistical categories. The holdings in the special collections unit are stronger than one might expect due to the interest of past directors and key faculty. The modern political papers collection started with the papers of Vice President Alben Barkley and U.S. Supreme Court Chief Justice Fred Vinson, and it now holds the collections of many Kentucky politicians of the past 50 years. An oral history program housed in special collections is one of the leading programs in the country, as is the hand press operation, the King Library Press. The libraries play an active role in statewide library services and have worked closely with the State Library and other libraries in cooperative programs.

Before the library campaign described below, my experience with fundraising was limited and there was little history of fundraising by the libraries or the university. There was a long history of seeking unique materials for special collections and when I was appointed director I took an active role in continuing and expanding this effort.

The University of Kentucky (UK) libraries started a friends group called the Library Associates in 1954 and, after being dormant for many years, the group was reactivated in the mid-1970s. Its purpose was to promote interest in books and library materials, including their collection and preservation; to seek gifts of books, library materials, and funds for the advancement of the University of Kentucky libraries; and to provide a medium through which friends of the libraries may become acquainted and share their interests. The activities of the Library Associates include sponsoring an annual dinner meeting that brings together alumni and friends interested in books and libraries. Individual members of the Library Associates had from time-to-time assisted me to acquire gift collections—with an emphasis on special collections. One such special collection was the collection of English Romantic Writers—a gift we received in 1984 from W. Hugh Peal, a New York lawyer, UK graduate, Rhodes Scholar, and former library student assistant from the early 1920s. The Peal Collection of over 14,000 items was valued in excess of $5 million and included the second largest collection of Wordsworth letters in the United States (see *Kentucky Review*, volume IV, no. 1, 1982).

The Library Associates, with a large executive committee and statewide membership of over 900, gave many people the opportunity to be involved in significant ways with the UK libraries and to learn about their strengths and needs. All fundraising literature emphasizes the need to build relationships with potential donors and their friends and colleagues, or as the cliché goes, "to raise friends before raising funds." The associates fulfilled this role but did not play a role in fundraising until the university launched the library campaign in 1991.

The libraries' first major cash gift of $1 million dollars came from Toyota Motor Manufacturing in 1989, when their first U.S. production facility was started near Lexington. Toyota approached the university in response to a story in the local paper about the inflationary pressures on the libraries' budget and their forced cancellation of journal subscriptions. As a newcomer to the community, Toyota wished to make a major gift in the region and was looking for an opportunity for the gift to have wide-ranging impact. The company felt that a gift to the libraries would benefit the entire university and the libraries of the 14 community colleges across the state, which at that time were administered by the university and which shared a common online catalog with the main campus. In addition, Toyota was influenced by the UK libraries' interlibrary loan services and other statewide activities. It was also fortuitous that the highest ranking American at Toyota was a former student assistant who worked in the UK libraries' circulation department at the same time as I did.

In 1990, the libraries were successful in competing for and receiving a National Endowment for the Humanities (NEH) Challenge Grant for a book endowment to support humanities collections. In the same year, Charles T. Wethington, Jr., became the president of the University of Kentucky. He had been the Chancellor of the Community Colleges within the university system and was familiar with library needs and the statewide impact of the UK libraries. He understood that, similar to most other research libraries in the late 1980s, the UK libraries' materials budget was strained because of inflation and the rapidly rising prices of journal subscriptions. He broadened the scope of our fundraising campaign and determined that the two goals of our new library campaign would be to build a significant book endowment and to construct a new main library.

In setting the library campaign's goal of $24 million, the university was sensitive to the concerns of deans and other program heads that the libraries would "take" gifts from their areas. Some deans, especially Dean Peggy Meszaros of the College of Human Environmental Sciences, actively supported the library campaign by soliciting endowment funds to be internally earmarked for their colleges' acquisitions and used the NEH matching funds as an incentive when talking with potential college donors. A few deans suggested that graduates of their colleges be "off limits" to the library campaign, but such restrictions were actually never imposed by the university administration. Those who doubted that the campaign could be successful were quick to remind me that "no one graduated from the library" and that library campaigns often failed. But, fortunately, doubters were few in number.

The Need for a New Library

UK's existing main library was a fixed-stack building dating from 1931. It had a 1963 addition to the rear of the building that did not match up well on the interior and a 1974 building connected to the front of the original building. Books were housed on seventeen different floors and levels, and the entire building had twelve service points. Anyone who had ever been in the building understood the need for a new library, so a new central library became the first phase of a building program.

Phase two of the building program allowed for the conversion of main library space to special collections space and the consolidation of the fine arts libraries into a combined facility in 40,000 square feet of the 1974 wing. It also permitted the consolidation of the science and engineering libraries in the 1963 addition. Lucille Little, a UK alumna, contributed $1 million for the creation of a fine arts library. Additional funds came from the family of Kentucky musician John Jacob Niles. Lucille Little is a patron of the arts, and although she was an active Library Associate, the arts were her primary interest. In the Lucille Caudill Little Fine Arts Library, which was dedicated in February 2001, a match was found between the donor's primary interest and the library's needs. This new facility also houses the John Jacob Niles Center for American Music.

To help sell the libraries' building program on campus, we pointed out that the plan would free nearly 40,000 square feet of branch library space for use by colleges and departments, which desperately needed the expansion space. This "gift of space" helped soften the opposition to library centralization, as did our actions to create a digital environment to allow vast quantities of information to be delivered to the desktop. It was also generally accepted by the university administration, although not by the libraries' staff, that these two larger fine arts and science/engineering libraries could operate in a more cost-efficient manner than the seven smaller libraries that they replaced.

The library campaign became the first university-wide fundraising program at UK and was the new president's highest priority. He co-chaired the campaign with John Gaines. Mr. Gaines, who had recently sold his horse farm, Gainesway, worked as a campaign volunteer and was very active in this role for several years. Colleges and other units continued their fundraising programs, but other significant campaigns were put on hold for one year, so that they would not compete with the library campaign.

In 1991, the university hired the consulting firm of Clements and Associates of Salt Lake City, Utah, to assist the university development office with the library campaign. They were selected primarily because they were in the middle of a statewide fundraising campaign for UK's community colleges, which allowed them "to hit the ground running" and eliminated the time-consuming process of getting up to speed with the background of the university. Ray Clements, the president of Clements and Associates, recommended two key strategies for our campaign planning: 1) the extensive use of volunteers—one volunteer per five solicitations; and 2) the need to encourage widespread participation in the campaign. As plans for the campaign developed, the libraries' development officer who had worked part-time since 1983 became full-time. The campaign required the majority of my time as well. Development officers and I made presentations about the campaign statewide, and to reflect the reach of the libraries' campaign it was designated the "Commonwealth Library Campaign." I stopped counting the number of persons in the various groups to which I made presentations when they exceeded 10,000. We also hosted many programs and events to gain visibility for the campaign. The largest event was an on-campus Student Library Endowment Committee kickoff program featuring Chai Ling, one of the student leaders of the Tiananmen Square uprising. It was very well attended and provided us with a great deal of good publicity.

Library Associates members, John and Joan Gaines, provided funding for a black tie campaign kickoff dinner, but we quickly learned that Mr. Gaines was not merely a passive volunteer. He began to show up daily in the library director's office to discuss fundraising strategies, review prospect lists, and anticipate the amount of money we could raise for the libraries. Mr. Gaines was an "out of the box" thinker and he challenged the library staff to do the same. He originated the concept for the Kentucky Horse Park, a leading tourist site in Kentucky, and he also created the Breeder's Cup, the "World Series" for thoroughbred horse racing. These examples hint at the scope of his imagination; small projects are not his "thing." Not only did he visit the libraries daily, but he also began to make appearances at the university's central development office, the public relations office, and not infrequently at the president's office to discuss the libraries' needs. Mr. Gaines was passionate about raising money for books, and it did not take him long to realize the libraries' facilities were too small and grossly outdated to meet the needs of the university. The libraries had repeatedly proposed a new facility—or an addition—but an undertaking of that magnitude remained out of the range of funding on the capital projects list. Mr. Gaines would not accept that situation and he set out to change it.

Throughout the 1989–90 academic year, Mr. Gaines inspired, cajoled, aggravated, and sometimes offended university officials, as he made his case for the importance of the libraries, the NEH Challenge Grant, and a new library facility. The library campaign also had the advantage of having UK's Athletics Director, C.M. Newton, as its honorary chair. Coach Newton included the Football Coach, Bill Curry, and the Wildcat Basketball Coach, Rick Pitino, in promotional advertisements. The athletics department's participation provided the needed visibility for the library campaign among UK athletics supporters and gave the campaign a large boost. A local supermarket chain, Foodtown, initiated the "Quarterback Sack" program, pledging $100 to the libraries' book endowment each time the opposing team's quarterback was tackled behind the line of scrimmage, a program that yielded some $5,000—plus the NEH match—and made librarians vocal supporters of UK's defensive line. The public address announcer and the radio and TV commentators announced the award each time it was earned, providing wide exposure for the libraries during the broadcast of football games.

As I mentioned earlier, when the new president declared the library campaign a key university priority in 1990, the central development office assumed responsibility for the campaign. During the fall of 1990 and the spring of 1991, campaign preparations were in full swing. Major Gifts Officers were assigned the library campaign as their sole responsibility, and in 1991–92 President Wethington designated the Commonwealth Library Campaign as the major focus for all university fundraisers. UK had not conducted a capital campaign up to that time, and everyone realized that there was little time to prepare and conduct this mini-capital campaign. It was decided, therefore, that the campaign strategy would be that of several mini-campaigns driven by the solicitation of major gifts. The first phase of the campaign was planned as an internal or "family" campaign for students, faculty, and staff. This phase would be followed by corporate solicitations, regional campaigns across the state, alumni solicitations, and a final campaign of the Library Associates. In each phase of the campaign, major gifts prospects were to receive primary attention. Their names were gleaned from the lists generated from the university's donor and prospect database. While all of the campaign preparations were underway, the university's public relations office began a publicity campaign that stressed the importance and value of a new state-of-the-art library to the university and to all of Kentucky.

UK's work force was in excess of 12,000 in 1991–92, and recruiting and training one volunteer in five was a daunting and time-consuming task. Over 78 percent of UK's employees contributed to the campaign, and their contributions totaled just over $1 million dollars. Payroll deduction was used for gifts to the university for the first time. The vast network of volunteer solicitors and employee donors experienced a sense of ownership and pride in the library building project that is still evident in conversations with faculty and staff. University employees were promised as much anonymity as was possible relating to gifts or nongifts, and faculty developed a number of slogans such as "Give as though your job depends upon it!" Some were convinced that their department would see no future book purchases, if they did not respond positively to the campaign. Support staff were unusually responsive to the campaign and several interactions are fixed in my memory. A custodian returned a payroll deduction pledge card for a substantial amount to be withheld from each paycheck and when he was asked if he intended to give that much, he asked, "Will they let me use the new library?" When he was told yes, he responded, "Then that is how much I want to give." I was walking across campus one day during the campaign and a woman in a UK custodian uniform rushed to catch up with me. She said, "Aren't you the man from the library?" When I confirmed that I was, she added, "I just want you to know that I gave to the new library."

The students conducted a mini-campaign theme entitled "Pack the Stacks." It caught the attention of the media and donors, and it created a positive image for the campaign.

The process of recruiting and training volunteers for each of the various campaigns, rating and soliciting major donor prospects, and celebrating significant gifts along the way occurred between May 1991 and December 1992. In that time, $21.3 million was raised. Forty-three major gifts were received, with the range of gifts falling between $25,000 and $5 million. Nearly 14,000 donors contributed to the Commonwealth Library Campaign, and nearly half of those who contributed were first-time donors to UK.

Although the number of major donors to the Commonwealth Library Campaign may have been relatively small in proportion to the overall number of contributors, the public exposure the university and its libraries received during that time set the stage for the next round of giving—nearly all of it major giving—to the libraries.

The state-of-the-art William T. Young Library opened to a fanfare of trumpets on April 3, 1998. All of the nearly 14,000 donors were invited, as were volunteers to the campaign. In addition to the thousands who received invitations, a media blitz about the new facility was conducted that included, among other things, a tabloid section about the William T. Young Library that was inserted in every Sunday paper published within the state on the weekend before the opening. As a result of the exposure the libraries received during the campaign, the contacts and solicitations made by thousands of volunteers, and the exposure through UK athletics, most Kentuckians heard about the new library at the University of Kentucky.

The new building is large and placed in a prominent location; while not everyone considers it architecturally exciting on the exterior, they usually agree that the interior is stunning. The students were awed by their new surroundings, while visitors flocked to the building in droves. Perhaps the person most overwhelmed by the new library was its namesake, William T. Young.

Building UK's Book Endowment

Mr. Young, a man with varied business and civic interests—including winning the 1996 Kentucky Derby with his horse, Grindstone—left the work of building the new library to the university. He did participate on a committee to select the architectural firm (Kallmann, McKinnell and Wood of Boston) that designed the building, but he did not visit the building site more than a few times during the four-year construction period. Mr. Young was admittedly overwhelmed by the structure when he did make a long visit to the library just before its opening, and he publicly pledged an additional $5 million for the book endowment during his remarks at the building dedication. His zeal for building the largest book endowment at any public university has paid huge dividends for the UK libraries.

The William T. Young Library Book Endowment Fund now totals $62 million. Mr. Young raised much most of this money through his own efforts. In 1999, he launched a personal campaign to build the library's book endowment, based totally on soliciting major gifts. In the intervening two years, the book endowment has grown by some $40 million as a result of Mr. Young's work on its behalf. He has coordinated his letter writing and personal visits with UK's development office and with the libraries, but his campaign is a one-man operation and his success is a testimony to the value and power of a well-intentioned volunteer, emboldened by conviction and contacts.

What Factors Contributed to the Library Campaign's Success?

Luck or chance, coupled with years of "friend raising," played a large role in the success of the library campaign. When the campaign formally started in 1990, I had been the director of libraries for 17 years and had been employed in the UK Law Library for seven years before being appointed as director of libraries. Major donors must have confidence in the leadership and stability of a soliciting institution. It helped the campaign that I had been at the university for many years. The libraries could also demonstrate a desperate need for new library space and the need for additional funds to respond to book budget pressures as the prices of research journals and library materials continued to escalate.

A new President, Charles T. Wethington, Jr., took office at a critical time and made the library campaign his number one priority. Without his commitment the new building would not exist and the book endowment would be much smaller.

The arrival of Toyota in the Bluegrass, with a former library student assistant as the highest-ranking American on staff, led to the first major cash gift to the libraries. We built on that gift through the active attention and participation of John Gaines in the library campaign. The extraordinary interest and support from William T. Young could not have been planned but proved to be essential to the success of the campaign. Neither could we have planned for the new Kentucky "Research Challenge Trust Fund," which, starting in 1999, allowed us to build our book endowment. This program provided state matching funds to be deposited into university endowments to support research. Although envisioned primarily for endowed academic chairs, the Trust Fund's definition was ultimately broadened to include the support of library research materials. That change in definition required a great deal of lobbying on the president's part, but the end result—that the libraries' material endowment qualified for the state matching funds—was worth all the effort.

I learned early in my fundraising experiences that pleading poverty and great need is rarely a good way to raise funds. Most donors view a program that is seriously underfunded as one of low institutional priority. Donors generally wish to make a strong program stronger, and even though the libraries had many weaknesses, they also had many strengths. It was the strengths that became the focus of the campaign. Donors must believe in the mission of the institution, and although the libraries' mission is widely understood, I found that I frequently had to answer questions such as, "Why does UK need a new library when everything is now on the computer?"

The campaign received a great deal of publicity and I realized it was a success when people started calling me to ask how to contribute. One particular summer Friday afternoon stands out. Around 3:00 p.m., I was thinking about leaving early when the phone rang and a member of the Library Associates told me that a family foundation would make a gift to the campaign, if I would let him know our 501-C number. That was not too difficult. A short time later, the university development office called to ask if I had ever heard of Mr. A. Mr. A. was a retired UK faculty member who had just been to the development office to prepare a $100,000 gift document for the libraries. A third call came from an out-of-state friend of Mr. Young's who wished to donate enough to the campaign to have a room named for a deceased family member. I sat in my office on that afternoon from 3:00 to 5:00 p.m. and, as a result of campaign publicity, received more campaign gifts than I would have ever thought we could raise in an entire year.

One morning during this same time, a student assistant came to my office and said that his father was coming from Cincinnati for lunch that day and would like for me to join them to talk about the campaign. I explained that I had a prior commitment to speak to a civic group about the campaign that I could not change. I did, however, see the student and his father in the parking lot on my way out of the library and stopped to say hello. The student's father told me that he had given $5,000 to the campaign. He said that he had also recommended to a client, a 1930s graduate from UK, that she consider naming the UK libraries as her contingent beneficiary. He emphasized, however, that, in his 20 years of legal practice, no one had ever followed his advice about naming beneficiaries. The woman died six months later and left $1.6 million to the libraries.

The success in the growth of our book endowment bears out one of the principles of fundraising—"Who does the asking is critical." Mr. Young is in his early 80s. Except for his service in World War II, he has spent his entire life in Lexington. He has a degree in engineering from UK and is an extraordinarily successful businessman and philanthropist. Individuals and corporations who might not even open mail from UK respond positively to his requests for gifts to the endowment. Additionally, he identified many out of state and some out of country donors who would never have been on the university's list. Ironically, before his involvement in the library campaign, Mr. Young had a long history of giving to private institutions but had not made a major gift to UK. His reluctance to give to a public institution was modified when he learned of our interlibrary loan program and other services to businesses and private institutions.

Donors who have the capacity to make major gifts receive many solicitations daily. When I asked Mrs. Jefferson Patterson (B.F. Goodrich's granddaughter and daughter of a Breckinridge from Kentucky) to make a major gift to our campaign, we were in her office at her home in Washington. She picked up a stack of unopened mail and demonstrated to me what she did with the mail solicitations of the day. Without opening them, she dropped them one by one into a trashcan. At that moment, I learned "on the job" how important it is to distinguish one's request from "all the others" and to match the donor's interest with the libraries' needs. I learned to pay as much attention to the donor's interest as the libraries' needs. I am pleased to report that Mrs. Patterson was proud of her Kentucky heritage and made a gift to create a Breckinridge Kentuckiana Room at the UK libraries.

The Importance of Donor Stewardship

Appropriate donor recognition is key to the success of any ongoing fundraising program. In my experience, I have found few donors who do not wish any form of recognition. But the most appropriate form of recognition is as varied as are the donors and their interests. We received a pledge of $1 million from a local businessman to be paid over a five-year period. When he sent us the first $500,000, I called to thank him. He said, "It is nice of you to call, could you use the rest of the gift now?" The next week another check arrived for $500,000. We mail thank you letters of course, but I always try to thank an individual—or the appropriate corporate representative—in person, as well as by letter. Following the receipt of a major gift, I send a gift basket of cheese, fruitcake, and candy from the Gethesamine Abbey in Kentucky.

Our new building has several reading rooms named for donors (gifts of $100,000 or more) and the gift level for naming opportunities goes down to $500 study carrels. When donors wanted them, we held room dedication events for major gifts. Major donors were also invited as guests and recognized at the Library Associates annual dinner meeting. We told donors to the Book Endowment Campaign that for each $50 they contributed, their name would be added to a special NEH Endowment bookplate and placed in a new acquisition made possible through the endowment. We also added the donors' names to the library's online catalog. This was a very popular and successful marketing technique with our donors.

Other types of public recognition are also important to fundraising success. Many staff, volunteers, and others assisted in large and small ways in our campaign. I think it is essential to publicly recognize volunteers. One year following the Library Associates annual dinner, my wife complained on the way home that I recognized everyone at the dinner but her. I am unaware of ever offending anyone by recognizing them, but I have offended people by failing to recognize them publicly.

I made regular visits to major out-of-town donors during the campaign. For many years, I included in my travel to the fall Association of Research Libraries' meeting a visit to Mrs. Jefferson Patterson of Washington, and then spent the weekend in Leesburg, Virginia with Hugh and Margaret Peal. I realized that it was not important that Paul Willis came to visit with the Peal's, but they appreciated "someone from the university" coming to pay attention to them. These visits usually included a large dinner party and sometimes a Pulitzer Prize-winning author. My visits to Mrs. Peal continued after Mr. Peal died and I also called her regularly once a month. When she died, she left a substantial cash bequest to the library.

Once when I went to see Mrs. Peal she said, "I did something which you will not approve of. I set up a scholarship to honor my mother at my *alma mater*." I responded that I thought this was very appropriate, and that I approved totally. During my visit she told me that a dean from the university where she established the scholarship called her and asked if she wished any publicity for her gift. She said that she responded, "Of course not." She went on to say that she heard nothing more from them—not even a thank-you letter. She did not equate "recognition" with "publicity" and said, "They could take some lessons in manners from the University of Kentucky." Not long after, the scholarship recipient at Mrs. Peal's *alma mater* wrote to Mrs. Peal and visited her during the summer. These actions turned her initial negative feeling toward that university around.

I strongly believe that donor recognition programs directly influence additional gifts from donors. We have had several donors who, after giving their initial gift of $1 million, made additional gifts at the same level. I am also convinced that the director of libraries must possess considerable self-motivation, energy, and drive to make a major gifts program succeed. I imposed on my family more than was justified and worked longer than usual days during the active part of the campaign. One Friday afternoon, our volunteer campaign leader, John Gaines, asked me how I got any other work done. I told him that I arrived at the office no later than 6:00 a.m. At that time it was nearly 6:00 p.m., so he said, "I better get out of here and let you go home." I told him that I was not going home because I had a function to go to at the UK Faculty Club at 6:30 p.m. He added, "You are very lucky to have a job that you like so much that you give it so much time." I usually agree with that!

In 2001, the university is now engaged in its first university-wide capital campaign with a goal of $600 million. The university's experience with the successful library campaign was essential to the decision to launch a general campaign.

Lessons Learned in the Process of Fundraising

I wish that I could have taken a "short course" on fundraising at the beginning of the library campaign, so that I would not have learned exclusively "on the job." Fundraising is clearly an art, but there are many basic principles that can be shared and I wish that I had known them at the start. A couple of potentially major gifts were lost when donors died.

I learned early how important it was for me to serve as host for donors and other friends, and I had countless dinners and receptions at my house. I also learned to ask others for help. Once, when the libraries hosted a 75th birthday symposium for Robert Penn Warren and the other members of the "Fugitives," I asked a neighbor to have a dinner party. I had a reception at my house one evening; Kentucky's First Lady, Phyllis George Brown, had a reception at the governor's house the second night; and my neighbors had a dinner the third night. They were extremely pleased to assist the library campaign and hosted future events at their home, following this first success.

A library campaign is not likely to be successful without a major commitment of time from the director of libraries. A development officer is essential but cannot raise funds without the active involvement of the director. During the library campaign, the UK libraries had an extraordinarily talented development assistant. She was invaluable to the campaign, but she could not fulfill the role of director of libraries. There are, of course, many demands on the time of a director of a major research library, and unless a major gifts program is envisioned I question the wisdom of giving much time to fundraising projects that raise only small sums. I also do not mean to suggest that other staff members should not be active in fundraising. Donors relate to different members of the staff, and special collections and professional school librarians are obvious individuals to be involved. Fundraising should be a team effort, but it must be led by the director of libraries.

For a major program to be successful, it is critical for the director to understand that success will not likely be immediate. Three years is not an unusual amount of time to cultivate donor relationships and the cultivation is necessary before donors are likely to give major gifts. In our campaign, there are a number of deferred gifts that have been designated for the libraries. These gifts are not calculated in our total funds raised, and I doubt if I will see many of them "mature" during my tenure as director.

Although a campaign has a beginning, a middle, and an end, fundraising is really a continuous process. For example, we are now seeking funding for the restoration of our original 95,000 square feet, 1931 library that now houses special collections and archives. We are also looking for funds to restore the 65,000 square feet 1963 addition to the building to serve as a science/engineering library. And the list goes on.

Our first fundraising campaign resulted in a 360,000 square feet, $58 million new central library building, which opened in 1998. (Twelve million dollars from the campaign were used to build this new building; no state funds financed its construction. The Athletics Association is retiring the additional $46 million in bonds that were sold to finance the building's construction.) Also financed by our campaign was a $2.5 million renovation of 40,000 square feet of the old library to create the Lucille Caudill Little Fine Arts Library, dedicated in 2001. The new buildings immediately became a focal point and source of pride for the university and popular gathering places for students, especially undergraduates.

No one could have imagined a few years ago that the book endowment at the University of Kentucky would stand at $62 million in 2001. It is perhaps even more unbelievable that Mr. William T. Young, for whom the new building is named, has set the goal of $120 million for the book endowment. When we reach that goal, Kentucky's endowment will be one of the largest book endowments of any research library in the country. It should ensure our ability to build excellent and comprehensive research collections for the foreseeable future.

Sample Campaign Material

1. Gaines, John R., *The New Commonwealth Library at the University of Kentucky* (1991). 56 pages plus inserts.
2. Student Library Endowment Campaign. *Pack the Stacks* (1994).
3. *Faculty, Staff, and Retirees Campaign—the University of Kentucky Commonwealth Library* (1995). 13 pages.
4. *A Library for the Commonwealth* (1998). 12-minute video.
5. *William T. Young Library—A Library for the Commonwealth* (March 29, 1998). Sunday newspaper insert to all Kentucky newspapers, 8 pages.

Chapter 6

“Damnit! How can you have a great university without a great library?”

Building Endowment Support for Technology and Innovation

Janet McCue

It was an unlikely combination for success—a new and inexperienced library director, a reorganized central development office, and a competing $200 million undergraduate scholarship campaign at the university level. But the $4 million endowment campaign to support acquisitions, preservation, and innovation for Cornell University's Albert R. Mann Library was successful. What saved this novice director from disaster was a charismatic campaign chair, supportive deans, a committed project team leader, a dedicated special projects assistant, and the creative spirit of the library staff.

Mann Library is one of 19 libraries in the Cornell University Library system. Cornell is unique among the Ivies for having both private and statutory colleges within the institution. The Albert R. Mann Library supports two statutory colleges, the College of Agriculture and Life Sciences and the College of Human Ecology. Considered one of the finest agriculture, life sciences, and related social sciences library in an academic institution, Mann Library serves the students, faculty, and cooperative extension personnel in a wide array of subjects from the biological sciences to applied economics, from child psychology to textiles and design. The library has excellent special collections and is considered a national leader in digital library development.

Yet this library, rich in intellectual capital and creative energy, had meager endowment income and waning state support. Before launching the campaign, the library's endowments were valued at less than $500,000. Most of these endowment funds were established early in the twentieth century. Little organized fundraising activity had occurred in recent years. The library did have one technology endowment, however, that had been established in 1987 by an emeritus professor, Ari van Tienhoven. Professor van Tienhoven established the endowment named in honor of his wife, Ans, to support the research projects and technology investigations of library professional staff. Declaring that "wives and librarians are the two most underrated professions in the world," Professor van Tienhoven and his family established a travel endowment so that librarians could explore a range of new technologies—from optical scanning in 1989 to chat reference in 2000.

Clearly, one technology endowment and sparse endowment income would not support digital collections and services for the twenty-first century. Knowing this, the former library director, Jan Olsen, lobbied long and hard for a capital campaign for Mann Library. She began by educating herself about the techniques of fundraising through Indiana University's School of Philanthropy. She then educated the deans of the college on the challenges facing libraries. With the deans' support and the approval of the university librarian, a successful case for a campaign was made to the university provost.

The case statement for the Mann campaign revolved around three themes: 1) acquisitions, 2) preservation, and 3) technology innovation. This case study will focus primarily on technology. As the library's case statement pointed out, "An endowment for innovation will enable Mann to continue to be a leader in library computer technology and an electronic provider of resources around the globe."

"Naked & Starving on a Polluted Planet"—The Organizational Structure

Recognizing the dwindling financial support from the state and the small size of the base endowment, the university administration gave the green light to a Mann Library fundraising campaign in 1997. The original campaign timeline outlined the basic schedule and components of the project, with a team assembled in June 1997 and an anticipated campaign completion by June 1999. In reality, the campaign officially ended in December 1999. Based on a feasibility study conducted by the development office, the university originally established a $2 million goal for the campaign. But the campaign chair quickly moved to double that amount. Mann Library was fortunate to have an experienced fundraiser, Steve Ashley, lead the campaign. A university trustee and a foremost benefactor, Steve understood the fund development process and was well respected in the community. With his significant professional accomplishments in banking and finance as well as his strong commitment to libraries, community service, and the university, his declaration to double the campaign goal carried a great deal of weight.

The former library director, Jan Olsen, worked with a college-level staff member in developing the campaign themes that addressed the most pressing endowment needs in the library—acquisitions, preservation, and innovation. Sandwiched between two major fundraising efforts—a Cornell University scholarship campaign for $200 million and a $50 million building campaign for Cornell's Laboratory of Ornithology—the modest $4 million campaign for Mann Library had to fight for visibility and attention. Each college had ambitious scholarship campaign goals to meet, in addition to the

Mann Library campaign, and many of the potential donors to Mann Library were also being courted for support for scholarships and the Laboratory of Ornithology. Most campaigns have a quiet phase in which the campaign team members raise a large percentage of the goal before publicizing the campaign. For the first half of the Mann Library campaign, it was both quiet and a bit chaotic. Not only did the university change its fundraising structure from a project mode to a team-based model, but the leadership at both the library and the college level also changed. The result was all new players, a new fundraising structure, and a novice library director, who arrived in January 1998, six months into the campaign.

Following the conclusion of the massive, $1.5 billion Cornell University campaign in 1996, the alumni affairs and development office downsized and moved to a team-based approach to development.[1] The Vice President for Alumni Affairs and Development, Inge Richenbach, initiated the concept of project teams to encourage collaboration and better use of resources in development. In this model, the vice president for development designates a staff member in the alumni affairs and development office to be the project team leader and also creates a project team. For Mann Library, the project team consisted of the directors of development from each of the two statutory colleges, the director of Mann Library, the special projects assistant from the library, and an administrative assistant and project team leader from the university fund development office. It was the project team leader who was the linchpin for the Mann Library campaign. She coordinated all of the activities of the campaign, communicated regularly with the team, and interpreted the university development scene for the library staff. Since the library did not have a strong donor base before the campaign, it was the project team leader, the deans, and the directors of development for each of the colleges who provided the direct line of access to donors. The project team leader worked with the head of alumni affairs and development to identify potential donors, while the directors of development in each of the colleges consulted with the deans to coordinate donor identification and solicitation.

In addition to the project team, there were two committees, a campaign committee consisting of a chair and 20 members representing alumni from both colleges, and a faculty campaign committee. Both the college development offices and the library suggested committee members, but it was the vice president of alumni affairs and development who approved the final composition of the committees. The chair of the campaign committee was a gifted fundraiser whose dynamic vision and deep commitment to Cornell ensured the success of the campaign. In fact when one skeptic asked him, "Why would anyone support the Mann Library campaign?" the campaign chair simply replied, "Because if you don't, you may find yourself naked and starving on a polluted planet." His reply alluded not only to the broad array of subjects covered by Mann Library, but also to his passionate belief in the role that libraries play in nurturing new ideas and discoveries.

In most large university settings, access to donors is tightly controlled. Who can be approached, by whom, and for what purpose is closely managed to avoid competition and repeated requests. The president and provost of the university determine the fund development priorities of the university and each college determines the priorities for discrete projects within the college. Because Mann Library served two statutory colleges and two university divisions (Biological

Sciences and Nutrition), it needed to go to the top of the university, college, and library lists for campaign status. For major gifts, either a committee member or the dean solicited potential donors; for smaller gifts, the director of development or the team leader made "the ask." It was the library's role to educate, communicate, and showcase both the library's vitality and its needs.

The library campaign relied on a close partnership between the professionals in fund development and the professionals in Mann Library. For a university such as Cornell, the development process is a science and the tools for success reside in the offices of alumni affairs and development. The library used the feasibility studies, the donor prospect tracking, the regional alumni offices, and the regular seasonal events that bring alumni back to campus to gain visibility and credibility. In turn, the development staff called upon the library to provide compelling case statements, develop specialized tours, and showcase the library's digital collections and services.

Within the library, the director hired a "Special Projects Assistant" (SPA) to manage the campaign internally. This position was pivotal to the success of the campaign. Not only was the SPA the conduit for information between the library and the project team leader, she also served as the events coordinator, writer, website developer, and fund manager. Although she did not handle all of these tasks alone, it was she who recruited instructors and tour guides, made sure that donors were thanked appropriately, organized teas, tours, and workshops, and fed publicity to the appropriate media. She communicated regularly with the library staff and met weekly with the director. Her development instincts and her knowledge of the library were invaluable skills for the campaign. The library staff worked closely with the special projects assistant. Reference librarians provided workshops, student assistants led tours, preservation staff showcased brittle books, and information technology specialists wrote proposals. The SPA worked on the campaign full-time as did the project team leader. Throughout the campaign, I also was heavily involved in development activities—whether giving presentations or leading tours, hosting teas or visiting alumni, proofreading publicity, or personally thanking donors for their gifts.

The project team met monthly as a group. Twice a year, they met with a larger development team from the university to keep them abreast of the campaign and solicit their help with additional donor prospects. Included in this larger group were corporate and foundation specialists as well as regional prospect managers. Since the campaign was for endowment and most corporations and foundations do not support endowment, there was very little activity in this sector. The campaign committee also received regular communication via a formal report or meeting every three months. To keep the library staff abreast of the progress of the campaign, annual reports at all staff meetings focused on new endowments.

Midway through the campaign, the goal of $4 million seemed unattainable. Because of competing university-wide campaigns, the lack of a natural constituency, and a change in leadership at the library, the campaign was languishing. When I became Acting Director of Mann Library in January 1998, some university officials suggested that the original target of $2 million was more attainable and that we should call the campaign successful when we reached that goal. Fortunately, the library had strong advocates with more ambitious fundraising goals for the library and their opinions prevailed. To help revitalize the campaign, the university announced a challenge in fall 1998. The intent of this $1 million challenge (1:2 match) was to broaden the base of support, increase the size of gifts, and stimulate the momentum of the campaign. One novel aspect of the challenge was that a planned gift could be matched with challenge funds to establish an endowment immediately. For example, if a donor designated a planned gift valued at $100,000, the $50,000 challenge could be used to establish a named endowment before the university received the planned gift. Six months after announcing the challenge, the average size of gifts increased significantly, as did the number of donors.

According to the university development staff, the standard rule of thumb is that 90 percent of the campaign funds will come from a very small group (10 percent) of donors. The financial analysis conducted by the university in 1997 showed that the campaign would need two gifts at the $1 million level and two at the $500,000 level to meet the $4 million goal. In reality, the campaign raised no million-dollar gifts and only one gift of $500,000. Instead, more donors gave at the $10,000 and $50,000+ levels than the feasibility study anticipated. Although there was no broad-based faculty campaign, nearly 20 percent of the 215 donors to the campaign were Cornell University faculty members.

"Man, I live at the library!"—Tools for Marketing the Campaign

Since one of the major themes of the campaign was support for innovation, the library took every opportunity to showcase its digital collections and services. The university's feasibility study indicated that both the emeriti faculty and the alumni were likely donor prospects, so the library launched a series of customized workshops to introduce emeriti faculty to the electronic resources of the library. Library staff planned workshops on services, such as "Email for Emeriti" and "Finding Ejournals." Instructors taught basic skills of locating everything from journal articles to the pleasure of finding travel information on the web. The workshops were so well attended that often the library had to recruit a second instructor to run a parallel class in another computing lab. Once a year, the library hosted a reception following a workshop. This gave library staff and faculty an opportunity to socialize and develop stronger connections.

For alumni groups, the library organized presentations, workshops, and tours to reconnect graduates of the colleges with the new Mann Library. The library was a presence during reunion weekends, leadership conferences, and advisory group meetings. The library invited alumni to make a map of their old stomping grounds using GIS software. We asked some of our student employees to give alumni tours of the library's computing center and describe how they used the facilities. Since the library was also building a new addition, we offered tours of the construction site to selected alumni and friends. In addition, we invited groups of potential donors to lunch in the library. We highlighted technology—showing alumni and faculty what today's students and researchers expect to find in a modern library. Whenever possible, we recruited library student assistants to help with tours and demonstrations of technology. They were excellent advocates for the library and divulged the novel ways they relied on the library and its technology. For example, an undergraduate described how she always began her research paper by sending an email to the reference desk and asking, "Where should I start?" Another student described his last step in an "all-nighter research paper" as sending off the paper to the library's laser print station. These students held their audience captive as they peppered their presentations with great quotes "Man, I live at the library! When I'm not working here, I'm studying. When I'm not studying here, I'm sleeping here!" Not only was it instructive for the alumni to hear what a central role the library played in the life of a student, but it was also enlightening for library staff to hear the creative ways students were using technology in the library.

The campaign was a busy social season for the library—with regular teas for donors, luncheons with presentations on planned giving opportunities, and tours, tours, tours. Both the library director and the special projects assistant were key participants in most of these events, but other library personnel—including reference and computing staff and the library's administrative manager, whose knowledge of the new library addition was boundless—participated in many of these events. For example, the fall 1998 events calendar included an October 12th library research workshop for emeriti faculty, a mini-campus visit on October 13th for alumni, including a luncheon, tour, and remarks by the deans and the director of libraries; a library workshop for CALS alumni visiting for the homecoming game on October 17th; a second emeriti workshop on the 19th; a Human Ecology Advancement Committee meeting hosted by the library on the 22nd of October and the Mann Library Campaign Committee meeting on October 23rd. November was just as busy, as the month began with two mini-campus visits on November 2nd and 3rd.

In addition to demonstrations and tours of the physical building, the library designed a virtual tour of its collections and services (http://www.mannlib.cornell.edu/tour.html/). The virtual tour was a joint project between the library and a freelance web designer. Library staff wrote the text and selected the illustrations while the web designer crafted the site. From start to finish, it was a four-month endeavor that resulted in an imaginative and informative overview of the library. As an early example of a virtual tour, it was featured both on the university website and in *American Libraries*.[2] To advertise the virtual tour, we designed bookmarks that listed the web address and included these in our mailings. These helped not only to inform alumni who were scattered throughout the world, but also to record the progress of the campaign.

Academic departments helped by highlighting the campaign and its benefit to the department in their newsletters and mailings. Since the library has no natural constituencies, or in the words of the dean, "Mann is nobody's baby," these departmental efforts helped broaden our constituency base. Some departments, such as Natural Resources, offered a separate challenge to support an endowment for print and electronic resources in environmental and natural resources. Making the library visible was a key goal throughout the campaign. We invited the university president, the deans, the development office and academic departments to create their holiday cards using reproductions from the library's special collections. In addition, the library always gave a gift packet of notecards displaying illustrations from one of our botanical or textiles volumes. These gift cards were produced in-house for a modest price and were wildly popular.

Recognizing Donors in a "High-Tech Tree House in the Woods"

The university carefully regulates donor recognition. How spaces can be named, comparability among spaces, and the types of recognition plaques used are all closely monitored by the university development office. Since Mann Library was building a new addition and renovating its original building using state construction funds, the library could provide many naming opportunities for the campaign. With vistas into the surrounding wooded area and thirty-eight miles of fiber optic cable, the library's new addition was quickly dubbed a "high-tech tree house in the woods." Using the floor plans for the new addition and the planned renovation, the project team drew up a list of rooms and reviewed this list with the director of development. Development assigned giving levels to each of these spaces based on visibility and square footage.

Although book endowments and conservation treatments could be recognized with bookplates, it was harder to find prominent ways to acknowledge technology endowments. The computing center, named in honor of a pioneering agricultural educator, John Lemuel Stone, by his family, was one obvious naming opportunity, but other prominent technology spaces were less evident. The campaign committee came up with the innovative idea of designing a computer screen "wallpaper" with an endowment statement reading: "Technology innovation at Albert R. Mann Library is generously supported by a gift from Rebecca Quinn Morgan '60 and James C. Morgan '60." This wallpaper displays on all the computers in the library and is the default screen when the computer is not in use.

The library recognized donors in a number of other ways as well. For those donors who established collection endowments, the library plates new acquisitions with appropriate bookplates. Other donors have named endowments, such as the James L. Craig '62 Staff Development Endowment established by a former Mann librarian to encourage technology skill development opportunities for support staff. For undesignated gifts at the $10,000 level or above, donors could choose to name a space in the library. These spaces ran the gamut from individual study rooms ($10,000 gift level) to the reference and information desk ($500,000 gift level). The library mounted plaques for each of these named spaces and, in addition, displayed two large donor recognition signs in the lobby. One sign acknowledged the major contributors (defined as $100,000 and above) to the campaign and the second listed each of the 215 donors to the campaign.

To celebrate the successful conclusion of the campaign and to recognize the generosity of the donors, the campus team organized a luncheon and invited all the donors, as well as the architectural staff associated with the new addition. Hosted by the university president, the luncheon on October 26, 2000 was a wonderful celebration. The menu highlighted the bounty of the Cornell orchards, some recipes from the library's rare cookbooks, and a specially blended ice cream from the college's dairy store, "Manngo Mann Sorbet." The program featured the university president and the campaign chair, who acknowledged the commitment of donors. Student-led tours and a slide show featuring quotes and historical highlights capped the entertainment. The underlying themes focused on protecting the library's intellectual heritage and developing the collections and services to navigate the rich information landscape. Symbolically, this was drawn out in the menu, the program illustration (featuring a bas relief from the library that had been digitally enhanced by one of the library's student programmers), and the campaign themes. In addition to a copy of the program, each of the guests took home a commemorative bookmark.

The campaign chair, deans, and committee members were recognized with a framed reproduction from the library's special collections. Committee members were honored with a bookplate in one of the library's rare books. The staff of the library who organized, instructed, and hosted hundreds of guests throughout the campaign were thanked by the dean of the college who made a surprise visit to an all-staff meeting. He thanked the staff for their special efforts during the campaign and as he said, "My hat's off to you," he tossed Mann Library caps into the audience. The caps, embroidered with the Mann Library logo, were a great way to celebrate and to thank the staff for their two years of effort.

"If I ever make any money, Mann Library will be in my will"—Following up

Unless there is a great deal of in-house support, or the director of a library has had previous experience, a campaign becomes a "crash course in fundraising." In my case, there was no time to take a course in fundraising. I had no prior orientation to the complexities of fund development in a large university setting before I became director. Only after the campaign could I understand some of the language of development and appreciate the "investment cycle"—identification, information, interest, involvement, and investment. The Mann Library campaign was a great success and several things contributed to its success. First, the leadership of the campaign chair, an eloquent advocate for the library, was key. His knowledge of the university development world and relationships with special donors provided a strong base of support. His passionate conviction and the challenge fund that he helped create were key elements in the success of the campaign. Secondly, the library benefited greatly from the commitment and organizational skills of the project team leader and the excellent teamwork that occurred within the project team. There was close communication among central fund development staff, college directors of alumni affairs and development, and the library, as well as a real appreciation of the roles that each of the team members played. Finally, the library staff was actively involved in the campaign. Mini-visits with alumni, personal and virtual tours, and presentations by staff and student assistants allowed friends to become better acquainted with the library. Although these activities were labor intensive, the staff also enjoyed themselves in the process—from writing lyrics for hit singles, such as "Walk Into Mann" (sung to the tune of "Walk Like a Man") to finding a fine Alsatian Gewurztraminer, named "Albert Mann," that we could use to toast our guests.

Perhaps the biggest pleasure for me personally was developing a genuine appreciation of our donors. Throughout the campaign, people gave to the library because of their commitment to the university and their appreciation of Mann Library. Scattered throughout this case study, I have used quotes from some of these donors to illustrate the passion of their commitment. But, many of the named spaces in our library have extraordinary stories to tell as well. For example, one study room is named in honor of a young Cornellian who was killed on the tragic

TWA flight to France; in another study room, a cousin chose to honor her relative whose artistic work had not been acknowledged; three separate rooms honor three generations of a family, a chain of events that began when a married couple honored their parents and then their children did the same for them.

The overarching goal of the Mann campaign was to raise not only the $4 million endowment, but also to develop a solid base of continuing support. The symbols of the campaign are scattered throughout my office. My official Mann Library baseball cap sits on my bookshelf beside an "Albert Mann" wine cork. Although the campaign is officially over from the university's perspective, these symbols are a daily reminder that stewardship continues. Keeping alive the interest, involvement and investment of our benefactors is an even harder challenge after the campaign is over, for there is no longer the same level of campus support—no events planner nor campaign brochures. Instead the library must take on this role. Key to this activity is having a staff member focused on stewardship and a library director committed to ongoing fund development. The library regularly communicates with donors through annual newsletters and endowment reports and we maintain a presence during alumni events. The library is developing an advisory committee to help guide the library, particularly in the area of fund development, and the library director is now included on the guest list of regular alumni gatherings. Although the campaign is over, new emeriti classes are in the works, the library's proposal for a workshop for a spring alumni meeting was accepted, and we will be doing a guided garden tour during reunion weekend that will highlight the library's "Language of Flowers" collection. But most encouraging was a recent letter from a campaign donor who asked, "What's next? and How can I help?"

I would like to thank the donors whose stories and quotes I have used liberally throughout this document to tell the story of the campaign. I would also like to acknowledge the leadership of Steve Ashley (Campaign Chair), Kathleen Loehr (Project Team Leader), and Eveline Ferretti (Special Projects Assistant) whose combined efforts "saved" this novice director.

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[1] For more information about the project team approach to fundraising see, Laura L. Toy and Kathleen E. Loehr, "Shifting Gears: A Project Team Approach to Major Gift Fund Raising Offers Flexibility, Efficiency and Results—Without a Campaign," *CASE Currents* (Nov./Dec. 2000): 26–. Also available at <http://www.case.org/currents/NovDec/toy.cfm>.

[2] In the monthly "Money Matters" column in *American Libraries*, the article "Will Virtual Pitches Yield Real Dollars for Cornell?" describes the virtual tours developed by Cornell's Mann Library and the University of Pennsylvania. See *American Libraries* (June/July 1999): 49.

Chapter 7

Lessons Learned While Raising Funds for a Major Library Renovation

Claudia J. Morner, Ph.D.

Introduction

I knew before taking the position as university librarian at the University of New Hampshire in the fall of 1995 that one of my main responsibilities would be to oversee an extensive renovation of the university library. During my first weeks in my new position, however, I learned four disturbing things about the renovation project budget: 1) the renovation design could not be built within the 15-million-dollar budget; 2) there would be no additional money from the state; 3) the original project budget was inadequate as it lacked funding for furniture and moving; and 4) the university's fundraising priority was a new hockey arena on which construction had already begun.

My challenge was both to cut the square footage of the project and convince the university that we could supplement state funding for the library with private support. My only fundraising experience before coming to New Hampshire had been in the 1970s when I worked as director of a small public library where we did an annual mailing and held a fundraising golf tournament. I had never asked anyone directly for a donation for a library, much less mounted an entire fundraising campaign in an unsupportive climate.

The University of New Hampshire is a land-grant, sea-grant, and space-grant university, located about an hour from Boston, near the New Hampshire seacoast in the small town of Durham. We have about 12,500 students, of whom 10,000 are undergraduates. As the only public university in the state, we offer a broad range of programs, including 2000 courses, 100 majors and 27 doctoral programs. The university has strengths in the sciences, engineering, history, and writing.

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The UNH Library consists of the Dimond Library, four science branch libraries, and a library storage facility. The Dimond Library was built in 1959, with a 1969 addition that was overcrowded and in serious need of updating by the 1990s. The Graham Gund Architects' design proposed to refurbish the 165,000-square-feet building and add a 42,000-square-feet addition, including a new entrance and two wings that wrapped around the most visible side and front of the building, providing a welcoming entrance. I knew it would be a great building, if we could just raise the resources to build it.

In my first few months as university librarian, I worked with university and system officials and a construction budget consultant to redraft the project budget. Because asbestos removal and sprinklers were a late addition to the project, the vice president for finance convinced his colleagues on the university's Space Allocation and Repair Committee to give the library project one million dollars from the university's renovation and repair budget. We now had a $16 million project that included funding for moving and new furniture for the new spaces. However, to make the project really nice, I estimated that I would need to raise at least another million dollars to replace worn and outdated furniture and add additional equipment throughout the building. I wanted desperately to avoid a library where the new rooms would have lovely new furniture and the old parts remain shabby, or worse, that the public spaces would have new furniture and the staff would have to make do with old desks and chairs. I was especially worried about staff furniture because we still had old metal desks with typewriter wells and a few staff members suffered from repetitive motion injuries. I wanted our staff to have the tools necessary to work safely and efficiently. I also felt that this was probably my only chance to equip the building properly. Once the building was finished, it would be next to impossible to replace furniture and get large sums of money for equipment.

The UNH Foundation had been established only six years before, and until the foundation began to raise money for the hockey arena, there had been no tradition of fundraising for buildings on campus. The foundation staff was working against the clock to raise the necessary $4 million for the hockey arena that was already under construction. Therefore, few foundation resources could be directed to library fundraising.

During my first year at UNH, I was challenged to the utmost learning to be a university librarian, managing the myriad facilities decisions, and attempting to raise funds in an unsupportive climate. I didn't know enough to be daunted by these challenges and I didn't feel that I had any choice. In the long run, I was successful in completing the library project and raising the necessary funding, but there were many bumps along the way and many opportunities to learn fundraising by doing it.

Our renovation project was protracted. The initial feasibility study was completed in 1990. State funding for the project was forthcoming by 1994. Planning was ongoing until move out and construction that began in January 1997. We moved back in and opened at the end of August 1998. The whole project took nine years from start to finish. The total cost of the finished UNH library project was just over $19 million. Funding for the project included $15,250,000 from the State of New

Hampshire, $1,180,000 from university renovation and repair, and $2,611,000 from private support.

Past Library Fundraising

Most private support for the UNH library had been for special collections. Our largest donor gave collections and several million dollars to support special collections and archives in a bequest in the early 1990s. Endowments from this gift support the salary and benefits of the university archivist and a staff person and provide operating and collections support for the department. There were also a number of funds established for specific book purchases, including a Gladys Brooks Foundation endowment that supports humanities collections. UNH has had a Friends of the UNH Library group for many years, but its main role was to help develop special collections and to offer programs that highlight aspects of the collection. The library received several thousand dollars each year from an annual appeal conducted by the foundation. My predecessor had been successful in attracting alumni class gifts in the recent past. The class of 1944 had donated $100,000 to help pay for a new Innovative Interfaces online catalog system and the library had received $95,000 from the classes of 1945 and 1946 to help furnish and equip our new reference area.

First Fundraising Attempts

Because I had little formal access to the UNH Foundation, my initial fundraising strategy was to develop informal relationships with the president of the foundation and other staff members who could teach me about the process of raising money and gain their attention and support. I invited the foundation president and key staff for breakfast and made a point of dropping into their building every few weeks just to chat and pick up clues about the mysteries of fundraising. Staff members were very helpful and happy to instruct me in the ways of their business. This contact also gave me a chance to educate them about the library and what we were trying to accomplish. I also began to donate to the library through the UNH Foundation, because I wanted to show the foundation staff that I respected what they do. I thought it would also make it easier for me to ask others for money, if I were a donor to the institution.

In my first year as university librarian, our provost listed the library as one of three priorities for alumni class gifts for fifty-year reunion classes. I needed to quickly develop some proposals that the classes of 1947, 1948, and 1949 would be asked to support. The possibilities included some large and elegant reading rooms and other spaces that I did not know how to price, as well as improved technology and new endowment funds to support collections. I had very little time to pull something together. At the time, we didn't really know how much money we needed to raise, or the amount of money these classes were likely to give.

When I made my presentation to representatives of the reunion classes, I brought an easel to hold the 24 x 36 boards displaying floor plans and architectural renderings and tried to explain what we wanted to accomplish to a room of 100 elderly people. I handed out a list of projects that needed funding, with costs ranging from $25,000 to one million. Although I am usually a good speaker, I don't think I connected well with that group of 70-year-olds, many of whom had trouble seeing my visual aids. I didn't as yet have a clear understanding of the projects' real needs and I didn't talk about how the building would affect students. I have since learned that most alumni see the university through the eyes of students, since their memories are of being students. Most decision makers in the room were men who very likely didn't have many memories of spending time in the library. We did get a small endowment from the mostly female class of 1947 but received nothing from the other classes.

Second Attempt at Fundraising

After I had been at UNH a year or so, I determined that it is very important for a university librarian to be visible in the community. Thus, I began making some good connections with influential alumni by attending a variety of university events, including reunion meetings, football and hockey games, concerts, and lectures. I would try to come early to find people to talk to and perhaps stay for a reception following the event. I would always sit with people who I did not know and engage them in conversation. In every case I would meet someone, and some of these people began to remember me and become friendly. I found that alumni were indeed interested in hearing about the library project.

My work with the UNH Foundation president also began to pay off. He suggested that I needed a fundraising committee to assist me to raise funds for the renovation project. He helped me invite some people who had shown interest in the library, and to that core of a few interested people we added a few more to create our fundraising group.

Working with this group—The Library Council—taught me an important lesson about working with volunteer fundraisers. The members of a fundraising group must be carefully chosen. They must be committed to assisting in fundraising and they must be focused on the task at hand. Unfortunately, that was not the case with my Library Council and it proved a challenge to manage. One member seemed to have his own agenda for our activities. Some of our discussions moved off the point and, in the end, the council did not raise any money. Our most productive sessions were focused on prospect identification, where members of the committee brainstormed about who might be interested in supporting the library. We did make a few calls on people, but these calls did not result in any donations. Through these experiences, I learned that you couldn't just invite someone out to lunch and ask them for a large check. It takes years of effort to build a relationship; this cannot be accomplished in a single visit. It turned out that most of the volunteers were on the committee because the foundation president had asked them to participate. A few council members had good intentions, but did not follow through. One of our volunteers was a wealthy woman who seemed interested in the project, especially the interiors, but her husband controlled the decisions about where family donations would go and he had other priorities. Another person wanted to learn fundraising for her local public library. Looking back, I realize that the group was neither well selected nor focused on the project. Although the group itself did not raise money from others, three of the council members did ultimately make significant gifts to the project, so the time I spent with the council was not entirely wasted.

The Third Time's the Charm

The most important lesson I have learned about fundraising is that it is impossible to raise funds on a large scale without the support of the university president. When you have the president's support, everything becomes possible. When the university hired a new president, she put our fundraising efforts on track. By 1997, foundation staff, writers, and graphic designers were made available to the library and were working hard to meet our goals. We were assigned a gift officer and a staff writer who developed a draft case statement. By the winter of 1997, we were moving out of our library so that construction could begin. Pressure increased to get what funding we could for the project before construction was finished in eighteen months (conventional wisdom says that it is impossible to raise funds for a finished building). We now had data that our needs were in the $2–3 million range.

A senior gift officer, the president, and I flew to Detroit to visit with the Kresge Foundation to see if we could qualify for a Challenge Grant. We had developed a brief description of the project and I brought my boards and some progress photographs showing the beginnings of the new wings. We met with the president of the foundation and a staff member. They were very cordial, but explained to us that we would need to have major donors in place before Kresge would commit money. We had hoped that we could get a $500,000 donation to inspire a few wealthy prospects to match it. That is not what Kresge is set up to do. They come in for the final fundraising push, after the major gifts have been raised. They offer a Challenge Grant to help the institution broaden its base of smaller donors to complete the project.

Knowing that I would have to get some of the $2–3 million in needed private support in the early stages of the project, I petitioned the university president for a loan from the UNH Foundation to tide us over until we had some cash donations. She denied this request but directed to the library project two bequests that had come to the university without a designated purpose. To get the interior design process off the ground, I took a big risk by sending all available library gift funds that were not restricted for a specific purpose to UNH facilities staff, so that they could complete the project design. I had to assume that the foundation would raise enough money to complete the project, and as the money came in we would purchase additional furniture and needed equipment for the project. For example, we had a design for carrels but did not have the funding to furnish the first floor of the old part of the building. When new funds were available, we could add additional furniture to the bid. I also made the decision that I would allocate all available funds for furniture and other items with long delivery lead-times and defer items with short delivery-lead times, such as computer equipment, in the hope that additional money would be available later in the project. It was a big risk, but with the help of the foundation my strategy worked. We got our furniture ordered and more funds arrived later to provide additional furniture and equipment.

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Fundraising Process

We developed a case statement that gives compelling arguments for funding the project. The foundation writer worked hard to pull out interesting statistics and specific ideas on how students would use the library. The case statement was inexpensively produced, but nice looking. Our graphics people used the Docutech system, which is better that an ordinary photocopy, but less expensive than printing. The case statement consisted of eight pages with an introduction that identified our need, color photos of architectural drawings, and descriptions of some of the most important naming opportunities all bound into a nice brochure entitled "Draft Case Statement." I learned quickly that it is wise to keep case statements in draft form because it helps to engage the prospect in the fundraising process, by giving him a chance to critique the draft.

Our general approach was to send out a copy of the draft case statement, make appointments to visit prospects, and during these visits ask prospects what they thought of the document. How could it be improved? Providing a draft and asking prospects for advice about the case is a good way to engage them and measure their interest in the project. People like to give their opinions and share their ideas. We found that this technique worked for us.

As part of our case statement development, I worked with our gift officer to create a list of naming opportunities. First, I looked at the data given by the architects on what the actual rooms or service desks would cost to construct. Then we evaluated the location and determined how much visibility or traffic the rooms would get. Third, we tried to identify a range of opportunities, from a high of $1–1.5 million to a low of $5,000–$10,000, with more opportunities at the bottom tier and fewer at the high end. With the goal of $2.9 million in mind, we calculated how many gifts at each level we would need to achieve success. A two-page list of naming opportunities and amounts was developed and approved by the Committee on Recognition of Philanthropy and Service (CRPS) that reports to the president. This list gave items with a price range, such as $1–1.5 million or $20,000–25,000. The psychology of the range was that the donor could only negotiate within that range. Because the CRPS wanted to make sure that we would not name a room after someone who would embarrass or discredit the university, I was required to go back to them for their approval when I had specific donors. I omitted this step with our first few donors and took a little heat from the president, who rightly felt that naming spaces was her prerogative. After my initial omission, I always sought CRPS and presidential approval for my proposals.

When possible, we also invited people for tours of the building while it was under construction. Because it was a construction site and technically owned by the contractor, I needed to get permission to bring anyone into the building. Everyone had to wear hard hats and a representative of the builder or university facilities accompanied each tour. For the most part, I led those tours and talked as we moved through the building about what we were building and how students would use the building. Prospective donors loved donning hard hats and getting an early view of the project. I also gave tours to groups that might give us money or might include potential donors, such as Parents' Association, President's Council (donors over $1,000 per year), University Folk Club (women's group affiliated with the university), and alumni groups. I also gave tours to journalists to improve our project's visibility statewide. We got several good stories in the state's largest newspaper and on television.

When groups could not come to campus, I sought out opportunities to meet with them and bring the story of the library to them. As I scheduled my trips to conferences of the American Library Association, I often found individuals and groups to contact in the conference cities. I had a very successful talk at a luncheon of alumni in Washington, D.C., and I made several calls on individuals in San Francisco. In all of these visits, I only told the library story and did no solicitation. I have done less traveling outside of New England specifically for fundraising, but our gift officer is on the road meeting with prospects every week. When she meets someone who is interested in the library, we try to get the person to campus to meet me and tour the library. Sometimes we invite them to an event, such as a concert or library exhibition opening. We also use the president's hockey box to entertain people. Even people who have never been to a hockey game seem to enjoy the experience and the opportunity to talk with the university president.

Successful Major Gifts

Experienced gift officers have a knack for knowing how much a person is likely to give. Sometimes they ask the prospect what others will give and judge that this is the amount the prospect is likely to donate. At other times they do research to establish how wealthy a person is and keep excellent records and files on each donor prospect.

Here are some examples of successful solicitations.

Diane Tebbetts, Associate University Librarian, knew a prospect and expressed an interest in trying her hand at fundraising. She had met Mr. A from the UNH class of 1985 at an alumni event a few years back. While at UNH, he developed a magazine database that he later sold to a large company, a division of which he now directs. She sent him a copy of the case statement and made a date to talk with him. She expressed concern to me that she might fail. I assured her that everyone fails in this business at some time, but nothing ventured.... Off she went to his office and came back with a proposal from him that he would donate to the library if we would try out his company's product for two years. Since we were eager to have Web databases, we selected which databases we wanted and could afford. We settled on a two-year $69,000 contract and the company sent us a check for $70,000 to help pay for computers and other needs in the building. This first donation was a big boost and a great story of a young alumnus who wanted to give back to his school.

The president received a handwritten note from a Mrs. B from Manchester, New Hampshire, who wanted to memorialize her husband. She had no prior record of interest in the library. Our major gift officer visited Mrs. B to respond to her note and to get to know her. He did some research and determined that she could give a million dollars. He decided we would offer her one of the three reading rooms (two were priced at the $500,000 to $750,000 range and one was priced at the $1,000,000 to $1,500,000 range). Mrs. B was invited to tour the construction site and then to have tea with the president, the major gift officer, and myself. The library tour consisted of climbing over rubble out to a concrete pad that would one day be a grand reading room. I described how students would use the three rooms and talked with enthusiasm about how great the library would be. Back in the president's office we had tea and discussed the renovation project. Mrs. B asked if there were any other opportunities for a room naming and the president said no, that there were scholarship funds, etc., but no rooms in other buildings were available at this time. I sat in that room smiling and making small talk, but I was very apprehensive, as so much depended on our success. The major gift officer followed up the meeting in a week or so with a visit to Mrs. B and her lawyer. Shortly after that she committed to a gift of $500,000. She asked that the Reserve Reading Room be named in her husband's honor.

Our largest donors, Mr. and Mrs. C, were members of a very wealthy and generous family who had been loyal friends of the university for many years. The family had developed a breed of chicken by techniques they learned during their years at the university in the 1920s. Mr. C's father and uncles had given millions to the university. Our foundation president and university president decided that it was now time to ask the next generation for a major gift. Although Mr. C had been a member of our ill-fated Library Council, I know that he would not have donated to the library if a library donation had not been a priority of the president. An alumnus from the Class of 1950, he was inclined to support the university president's priorities. This "ask" was interesting. Our major gift officer told Mr. C that he wanted to give him and his wife a tour of the library and then take them out to lunch with the university president clearly indicating that the president would ask them for a million dollars during lunch. The gift officer then asked Mr. C if he wanted to do the tour and lunch. After a long wait of a week, the answer was yes, and we proceeded to close the deal. In this case, I gave a tour and then let the foundation people and the president discuss the donation over lunch. Telling the prospect what to expect is one way to be clear about expectations in advance. I don't know how often this approach is used, but it worked in this instance.

Once the president designated the library renovation a fundraising priority and part of the university's fledgling capital campaign, we got support from all quarters. Many of the foundation gift officers found prospects for me. Sometimes they just used the case statement and list of naming opportunities and other times they contacted me for help with a strategy. It is important for the university librarian inexperienced in fundraising to realize that fundraising is usually a team effort in which each member of the team takes on different roles. Sometimes I was part of a solicitation and made "the ask." At other times, I merely facilitated the process. For some major donor prospects, only the president could do the solicitation.

Because I had a limited number of donors, I was able to write handwritten notes to donors to the project. I had note cards printed with an architectural drawing of what the front of Dimond Library would look like when the construction was finished. I used these cards for all kinds of communication. It is quicker and easier to dash off a note to someone than to write a letter on my computer. To my delight I learned that a UNH Foundation board member told our university president that UNH is better than any other university at acknowledging gifts. Why did he say that? His sister-in-law donated $23,000 to the library and I had sent a handwritten thank you note.

Other Significant Gifts

Here are some of the other important gifts donated before the building was finished:

Mr. and Mrs. D Faculty Lounge, cash donation of $50,000. These donors wanted to do something for faculty.

Dr. and Mrs. E New Book Room, deferred and current use gift of $50,000. Mrs. E, now a widow, had worked with her professor husband on dozens of natural history books. She visits the library nearly every day and wanted a way to memorialize her husband, herself, and their many years at UNH. She transferred money to an annuity that pays her a specific sum for as long as she lives; we get the remainder at her death. This way she has current income and a way to participate in the campaign while she is still alive.

The Class of 1943 Map Room was named for a donation of $18,000.

Mr. and Mrs. F of the University Council donated $23,000 to the library as part of a larger gift to other units on campus. Mr. F helped us solicit some other donors and worked on lists of prospects.

The Library of Traditional Jazz is now housed in the Mrs. G Room. At her death, Mrs. G gave the Music Department three million dollars and control of her extensive jazz collection and her house, where the collection was located. She specified in her will that if the house was sold, the proceeds could be used to house the collection elsewhere. The collection was given to the library and we realized $172,000 from the house sale.

Smaller Fundraising Programs to Attract Support

During our campaign to fund the renovation, we sponsored a number of smaller fundraising programs. In 1997, the library was the feature for the annual alumni giving campaign, which gave us visibility and helped raise funds for the project. In the same year, we also attracted the support of the last senior class to use the Dimond Library through our "You Can Take It With You" campaign, an effort to raise $19.97 from each graduating senior in the Class of 1997. We offered a one-foot square of old library carpeting (ugly yellow and red stripes) as an incentive to donate. We raised a few hundred dollars.

"Honor Your Graduate" was a parents' bookplate program, through which we asked relatives to donate $100 to honor their graduating senior. The solicitation letters and bookplates were quite handsome and expensively and beautifully produced by the university relations department. The program yielded $18,000, but the foundation decided that it did not raise enough funds to balance the amount of work and expense it generated and did not continue the program in the following year.

The campaign also attracted some gifts-in-kind that were difficult to quantify. In-house university telecommunication employees did all the library communications wiring. The director of telecommunication negotiated a deal with one of his vendors to have several thousand dollars worth of hubs and other electronics donated to the project. I only learned of this secondhand, but it was a good gift.

We also had many colors of shelving, accumulated over the last 30 or more years. I wanted to have attractive new shelving, but could not justify throwing out 29 miles of shelves on color alone. I found a powder coat contractor by contacting an alumnus who was retired from the auto body business. After softening him up with a hockey game, we received a price quote for the project that only covered the cost of materials.

Other corporate contributions included a $5,000 donation from a book vendor and $1,000 from a bookstore to support opening celebrations.

Donor Recognition and Stewardship

Depending on the needs and wishes of the donors and their giving level, donor recognition varied but is critical to continuing fundraising success. Our largest donor reluctantly agreed on a tasteful plaque in the room and the family name over the door in 4" aluminum letters. Our second largest donor accepted the plaque, room name, and supplied an oil portrait for the room. She also asked us to host a wine and cheese reception and portrait unveiling in the room for 50 of her friends and family.

The UNH Foundation sponsored a reception for the class officers of the classes that donated to the library. This was an afternoon tea with petit fours in the library. We sponsored other small gatherings for several other donors in their rooms.

I also took numerous people to lunch to thank them for their gifts, which ranged from $10,000 to $250,000. For our donors to collections, we use individually designed bookplates for endowments or large gifts, or a generic bookplate for small gifts. Our online catalog shows an "electronic bookplate" on the top of the screen recognizing the Class of 1944 that provided partial funding for the online catalog system.

Our largest event was part of the library dedication weekend. In addition to a dedication luncheon for 250, and a larger gathering open to the entire university community, we had a black tie dinner and dance in the library. The guest list was carefully chosen, both to recognize library donors and to court future prospects for the university's capital campaign. The evening was co-hosted by the university president and me. It was by far the most lavish and elegant event the university had ever produced. People still talk about it.

We created two brochures for the opening of the library. The fundraising booklet had columns by the university president, the university librarian, and the architect, as well as historic stories and photographs of the library, and names and photographs of donors. The other brochure was geared to faculty and students and described services, hours, and locations.

I also have a "top 40" list of people—a combination of past donors and prospects—to whom I write four to six times a year. Sometimes I include a news report, for example, when the library receives an architectural award, or I send a holiday card, or some news of library activities. It keeps people thinking of us and allows us to stay in touch. I know that at least one donor keeps a scrapbook of things I send her. The first year the building was opened, I sent our largest donor a custom framed photograph of his room taken early in the morning. It proudly hangs in his study.

Funding Fundraising Activities

The cost of fundraising activities has been split between the UNH Foundation and the library. I pay for all lunches that I host, my note cards, and my travel. The foundation paid for the dedication brochures, case statement publications, events that they host, salaries, travel, and support of their staff. The foundation and the library divided the cost of the expensive black tie dinner. The university paid for the groundbreaking and dedication ceremonies. Since I am fortunate to have some significant gifts that were given without restrictions, I maintain a discretionary account from unrestricted gift funds that I use to pay for things like alcohol and flowers that cannot be covered by state funds. Gift officers, staff writers, and graphics people work for the foundation and are paid out of that budget. I did not add any additional staff to support our fundraising efforts.

My Advice to Librarians New to Fundraising

- Do not let anyone tell you that libraries are not sexy and that it is impossible to raise money for libraries.
- If your campus has a foundation staff, work with them and learn as much as you can about how they work. Keep them well informed about what your needs are to make it easy for them to raise money for you.
- Keep a "wish list" of items in a range of dollar values. You never know when someone might ask you what you need, or what you would do with a specific dollar amount.
- Go out and tell the library's story to anyone who will listen to you, on and off campus.
- Don't forget faculty emeriti; they were generous donors at UNH and are likely to be a good source of support at your institution.
- Never refer to or think of fundraising as begging.
- Never underestimate the importance of thanking people. No matter what the size of the gift, always write a thank you note, preferably by hand.
- If you do not tell people how you spent their money in the first thank you note, write them again and let them know how important their gift was.
- Your next gift is most likely to come from someone who has already given to your library.
- Brainstorm with your staff for prospects and fundraising ideas.
- To broaden your prospect pool, pitch library fundraising to people who want to help students, not just those who love libraries.

- Approach the teaching faculty. They can be incredibly helpful in steering donors to the library and many of them may want to support your project.
- Show your appreciation to gift officers. I have given little gifts or sent notes of thanks to them.
- Ceremonies are important. I announced our one million dollar donation to the library staff, with the university president and foundation staff in attendance. Coffee and cookies were served.
- Keep in mind, fundraising is all about building relationships with people.

Conclusion

The difference that private support has made to the Dimond Library is more than the quality and class of the furnishings and equipment in the building. I did not realize when we started this project that one building could mean so much to a campus. The library building not only affirms to faculty and students that the university values academics, but also demonstrates to any potential donor that philanthropy matters at UNH. I have also gained respect from my fellow deans and other library administrators as someone who can deliver and as someone who expects support. Library staff and faculty morale has improved greatly because the library is such a successful and lovely place to work and because we have extra funds to support good ideas, staff travel, and professional development. Now that the renovation is completed and we are enjoying the fruits of our labor, the library continues to benefit from the library campaign as more than $1.4 million in pledges are paid. In addition, the library is now a significant part of the university's $100 million capital campaign, with a goal to raise $7 million. The project has also been a great personal growth opportunity for me. Coming out of this project I am braver, more focused, and confident of the importance of the library and of my own abilities. Fundraising work suits me, and I have enjoyed the challenges.

What would I have done differently? I could have been more strategic and organized, especially at the beginning. If I had focused my attentions on the interim president and pushed more at the provost, I might have gotten more support earlier. I incorrectly assumed that I was fighting this battle alone. Also I was too busy with the business of the library and the renovation to report to the gift officers on contacts I had had with donors or prospects. Now I try to take a few minutes to write down anything I learn about a person for the foundation files. I try to do this via email more regularly now. I did not have a good information system of files for several years. Now I track each gift and have files on all donors and prospects.

Now that our building is complete and our capital campaign is underway, I am working with my new gift officer to expand her list of prospects and looking at specific needs that can be met with gift funds. My latest thinking on the library portion of the capital campaign is that for many of the campaign priorities there should be a library component. It makes sense that, if the university has established priorities for professorships, centers, or other programs, there should be additional library resources to support those faculty and programs. Although this is not a unique idea, it will take some selling on my part. The good thing is that I have the support of the provost and the president.

Chapter 8

The Library's Role in the Capital Campaign—Building a Donor Base for the Library

Catherine Quinlan

Introduction

Unlike other case studies in this book, this one will not describe a specific fundraising campaign but rather will provide an overview of my experience in building and cultivating a donor base at a variety of research universities over the past 15 years. I have made an attempt to weave all of these activities into one description of how this development occurred; all events and activities were not undertaken at every institution. The universities where I have gained my fundraising experience range from mid-sized to large. All of the universities undertook major capital campaigns during my time on campus and all included significant fundraising for and by the library.

Not all libraries, library administrators, or library staff are equally prepared to participate in fundraising campaigns. Some staff resent being asked to participate in fundraising activities, while others are enthusiastic yet ill-suited to the demands of the job. University administrators reflect a similar range of interests and attitudes: from believing that the library is the heart of the university to feeling that the library is a bottomless pit that no amount of money could ever satisfy.

Like many library administrators, I was not trained to be a fundraiser. Rather, I learned to be one out of necessity. My interest in developing library services typically required resources beyond those available on campus or in the library's budget. Working with campus development staff and library development staff over the past 15 years has truly been an educational experience for me and one that I have enjoyed immensely. I have had the opportunity to gain fundraising experience and knowledge in a variety of settings and from a wide variety of people and hope that these comments on building a donor base of support for the library will be useful.

The Campaign

All of the fundraising projects in which I have been involved have been university campaigns that included a component for the library: usually renovating or building physical space for the library. These are large-scale projects that require the support of the senior administration of the university as well as the administration and staff of the library. Usually the university president must be involved in order to attract the level of gift required for a building project. In all cases there were few constraints placed on the library's fundraising activities. By the same token, the amount of development office support was not great because of other activities being undertaken as part of the capital campaign. Identifying and developing a donor base was left predominantly to the library with advice provided as requested by development staff. Some methods of developing a donor base are more effective than others. In the following discussion, I have emphasized the methods that have proven to be most successful over many years.

Identifying Donors

Given the adage that "your donors are your best prospects," we looked first at those who had previously supported the library. Unless an institution's donor tracking system has been in place for some time, it can be difficult to obtain this information. Ensuring its accuracy is also a primary concern. Like others, I have experienced the embarrassment of sending letters to the deceased and to couples long since separated. Developing and maintaining accuracy is fundamental to positive communication with any donor. As we want them to be interested in our activities and us, so must we demonstrate that we are interested in them and their activities. In identifying past supporters of the library, we decided to take a broad definition of "support" and include not just those who had donated funds, but also those who had given gifts-in-kind, volunteer hours, etc. We also reviewed past years' hires of student employees and tried to track them with the assistance of the alumni office. These activities helped to expand our list of those who had had some previous relationship with the library.

We also identified faculty and staff supporters on campus. Many of those working on campus have extensive experience with the library and can act as liaisons in appealing to a more community-based group. While the library has no graduates of its own, many—if not all—of the university's graduates required the services and collections of the library to be successful in their program of studies. Including the library's campaign needs as part of a faculty's fundraising program can be useful and beneficial both to the faculty and the library.

Traditionally, any institution's alumni are seen as the "property" of the faculty from which they graduated. Unless there is some specific interest in the library demonstrated by a graduate, it can be difficult to attract alumni (especially recent ones) away from their department or faculty to support the library. However, parents' groups are often effective supporters. Parents easily understand the value of the library to their son or daughter's educational experience and are usually eager to hear about the library services and resources now available as well as the library's potential for new programs. When approaching parents' groups, students can be particularly effective ambassadors for the library.

Once you have looked "in house" for prospects, the next step is to broaden your search past the campus. A number of studies have been undertaken that attempt to find a relationship between demographic factors and philanthropic behavior. So far, it has not been proven conclusively that a person's city, age, income, or gender can predict her or his inclination to give. Fundamentally, people decide to give based on whether they believe in the vision espoused and whether they believe those presenting the vision can achieve it. The more an individual is personally involved with or knowledgeable about the institution, the stronger the relationship and potential to develop faith in the institution's ability to achieve its vision. With that principle in mind, we next conducted a review of the membership of all library and university affiliated committees (for example boards and advisory committees).

In undertaking this review, it became clear that a number of committee members from the community knew a lot about the institution, were sympathetic to its campaign, and were willing to act as a link between the institution and friends of theirs who were not as knowledgeable about the institution or the library. This led to the exploration and identification of "natural partners": links between those now supporting and knowledgeable about the institution and those who they know might be encouraged to be interested.

Identifying natural partners is a little like the movie *Six Degrees of Separation*. In the movie, the case is made that everyone knows everyone else in the world. This knowledge is not necessarily first-hand but can be traced through other friendships and acquaintances to the individual. Usually it takes six individuals to make the link between the person in question and the one trying to establish the relationship—hence, six degrees of separation. However, in fundraising you are usually dealing with only one or, at the most, two "degrees of separation" from a possible donor. Establishing natural partners not only is useful for identifying new prospects, but also can result in building a stronger link between the existing supporter (the natural partner) and the institution.

Once you have identified those who already know about or are affiliated in some way with the institution, you must broaden the search. There is a plethora of other agencies, corporations, foundations, government agencies, and individuals that might be interested in supporting your project. Conducting focused and relevant research can identify such groups. Identify the various services or improvements that will result from your project. Will the region be better served by building a better library? Will information literacy and life-long learning be better supported? Will building a better special collections department allow the preservation of historical and rare materials that are unique to your region? Once you have identified the many improvements that will result from your project, you will be able to identify philanthropic foundations, corporations, and other agencies and match your services to their needs and interests.

Research is a crucial component of developing any donor base, whether it is focused on individuals, governments, or foundations. To be useful to the project at hand, the research must be specific to the institution's needs and the interests of the funding agency. Conducting a blind mail campaign to all of the Fortune 500 companies will not build an active or supportive donor base. However, through research natural linkages to some of these very companies can be discovered. For example, a hi-tech firm specializing in developing hardware or software for the educational market may be interested in supporting the installation of a computer and instructional lab in your library. Or you may discover that one of your "natural partners" is a member of the board of a Fortune 500 company and can provide you with a sense of what that company's interest might be in supporting your project. In my experience, firms that are interested in the community (this can be deduced by identifying their other philanthropic interests) understand the value of libraries and improved access to information for the community as a whole and are willing to at least consider supporting your project. In addition, if part of your project includes renovating an architecturally important or heritage building, you will discover that there are many government agencies and foundations that are specifically interested in supporting such a project.

Regardless of the size of your institution, your resources will be limited and at some point you will have to make a decision about which prospects to pursue. The rule of thumb is that 90 percent of the funds needed come from 10 percent of the donors. Some development consulting firms report that they are seeing 95 percent of the dollars raised coming from 5 percent of the gifts received. Regardless of which statistic is true, the meaning is clear: increasingly campaigns are funded by a few large gifts. As a result, your development resources should be focused on major gift cultivation. In most successful fundraising efforts, the top gift is 10 to 15 percent of the goal, the top 10 gifts are equal to approximately 40 percent of the goal, and the top 100 gifts will be responsible for 90 percent of what is raised. Therefore, a simple definition of major gifts then becomes the top 100 prospects.

From a donor's perspective the major gift decision is vastly different from the annual gift decision. The fact that someone makes an annual gift does not mean that he or she will make a major gift. The annual gift is typified by frequency of solicitation and contribution and relatively little decision making once the original commitment has been made. On the other hand, a major gift entails extensive decision making and is made on a relatively infrequent basis: the annual gift fundraiser is always asking, while the major gifts fundraiser is involved in relationship building. There is a role in the fundraising process for both kinds of activities.

How do you determine who should be on your major gift prospect list? You now need to evaluate the donors you have identified based upon their past gifts and the size of these gifts, their consistency of giving (if not to your institution then to a similar institution or organization), their areas of interest, and how they might relate to your project. This information and other information gleaned from your development office will help you determine the capacity of the individual. You must now determine their interest in supporting your project.

Cultivation of Prospects

Throughout the cultivation process your goal is to develop the prospect's awareness, knowledge, interest, involvement, sense of commitment, and ultimately their financial commitment to your project. The objective throughout this process is to track not just dollars, but also involvement. If you can monitor prospects experiences—and initiate additional experiences of the right kind at the right time—you can deepen their relationship with the library and the institution. The deeper their relationship, the more likely it is that they will consider making a gift.

If possible, begin the cultivation process by saying "thank you" for a previous gift. Some development experts believe that you should try and find seven or more ways to say "thank you." These "thank yous" can include personalized letters from you and others (for example, chairman of the board, president, or student) at various intervals, personal visits, gift of appreciation, special events (recognition dinners), or having the donor added to the honor role of gift givers. Most institutions have various named categories to recognize various sizes of gifts.

At the University of British Columbia (UBC), there are a number of categories including: Wesbrook Society (for annual donations ranging from $1,000–$10,000); Chancellor's Circle (for lifetime giving ranging from $25,000–$249,000); President's Circle (for lifetime giving of $250,000 and above) and Heritage Circle (for bequests and estate giving of $5,000 and above). Within each named group there are various designations depending on the level of giving. For instance, if an individual's lifetime giving totals $1,000,000, they become a Patron of the President's Circle.

Whether prospects have given previously or not, it is important to establish and maintain regular contact with them. This can be a fine line to tread, as many major gift prospects are busy people who do not want to be bothered with information they have not requested. The key to this kind of contact is to ensure that there is substance to the information you are sending them and that it is meaningful. Your research will stand you in good stead throughout this process. If they have not previously made a gift, knowing what their areas of interest are could provide an entrée to sending them up to date information about a matter that concerns them. You are trying to establish a connection with the prospect and pique their interest. Use your creativity and imagination.

If the prospect has given before, you can supply regular updates on how that gift is being used and the difference it is making to the library, its users, and the institution. But be aware of how often you are providing information about the same thing. You might want to use the opportunity to report on the benefits of their past gift as a chance to interest them in a new endeavor or a related activity or service that the library plans to introduce. Encourage the prospect to respond and provide feedback about what they think is important and what they would like to see happen. While not every one of their interests can be pursued, this feedback will provide you—and the institution—with additional information about the prospect and their interests.

Increasingly, websites are being used to establish and maintain contact with donors. For instance, at UBC a donor established a $1 million endowment for the library to support access to information resources in the areas of nursing, allied health, and breast cancer. We developed a website, and through updates and changes to the content and look of the site, we have a good way of keeping the donor informed and aware of how her gift is being used.

Random contact with prospects is not effective. You must strive to be in contact with your prospects in some meaningful way every few weeks over a long period of time. These contacts can be divided into *foreground initiatives* and *background initiatives*. Foreground initiatives are activities planned with a specific prospect in mind, such as arranging a visit from the president or sending a card to congratulate them on a business success. Background initiatives are activities or services planned for groups of people that may include one or more prospects, such as advisory councils, receptions, or Friends of the Library activities. Sometimes the same event can serve two functions: 1) as a foreground initiative for one donor and 2) a background initiative for another. Openings of donated collections are examples of such events. The person who donated the collection is specifically being honoured (foreground initiative), while the invitation list includes other donors and prospects who are interested in the collection and the library (background initiative).

As you cultivate prospects, sharing information and coordinating your activities with others in the institution will be increasingly important. Generally, this sharing and cooperation between units is viewed with some trepidation and suspicion, but in my experience it is a good way to ensure that the prospect's interests are attended to as fully as possible. In some cases in which I have been involved, donors who had previously supported the Library expressed interest in funding a scholarship for an academic department. Could I have persuaded them not to make that gift but to continue supporting the library? Possibly. Would that have been supporting the donor's interests? Definitely not. As you cultivate donors and prospects, you will discover that mutual interest and trust underlie every relationship. In every case in which I have assisted donors to realize their interests outside the library, the donors did not stop supporting the library and, in many cases, returned to supporting the library as their sole interest on campus.

As Will Rogers once said, "Even if you're on the right track, you'll get run over if you just sit there." Cultivation is an ongoing process that requires vigilance and ongoing effort in a coordinated way. Review the prospect's relationship with the library regularly. In consultation with natural partners or others on campus, plan what sort of contact would be most appropriate. Coordinate the plan with those involved. Execute the plan and evaluate its impact. Record and report it to the appropriate group. This process is called "moves management" and is a good way of charting contact and involvement with prospects.

All of this takes time, of course. That is why a library director should expect to spend from 30 to 60 percent of his or her time in major donor cultivation activities. How many prospects you can manage at any one time is determined to some extent both by the amount of information you have on each prospect and the attention you feel you must pay to each prospect. Not surprisingly, the amount of attention needed can vary greatly depending on the donor and on the stage of cultivation you are in with each prospect. Some major donors may require little attention and are satisfied with your regular reports while others may require ongoing attention from you and other members of your staff.

Keeping track of donor and prospect activity is crucial to the development of your relationship with donors. As your list of donors and prospects grows, you will find it increasingly difficult to keep up to date with the various "moves" that you and your staff have made with specific donors. A variety of systems have been developed to assist with this tracking.

Large institutions with substantial fundraising programs typically invest in automated support systems such as "Advance" or "Viking"; programs such as "Raiser's Edge" are available for smaller institutions. Although the cost of automating any donor support system is considerable in terms of money, staff, and time, it is a necessary investment for any organization that is serious about fundraising. Keep in mind that the system is only as good as the information that is entered into it and the level of updating and maintenance exercised on the files. The type of information that can be kept on file about donors must also be considered in light of federal, state, and provincial privacy legislation. For instance, in some jurisdictions you can not keep data about an individual's net worth in a publicly accessible file. The level of system security that is required to safeguard this and similar kinds of information represents another cost in the system's upkeep and maintenance.

The final step of any cultivation process is asking for a gift. In my experience, it is this part of the process that terrifies most people. However, if you have attended to your list of prospects, established regular contact with them, kept them involved in your activities and aware of your project (the case statement is crucial), and have stayed involved and knowledgeable about them, this should be a natural next step in the process. In some cases, the interest and involvement of the prospect is so high that the person will take the initiative and make a substantial gift without being asked. I have had the happy experience of being involved in a number of such instances. In every case, the donor had received regular information about the library's project, had identified a particular area as of interest to them, knew the size of the gift needed to make the project happen, and proceeded to make the gift.

The dynamics of decision making by a donor change significantly when the ask moves from an annual gift to a major gift contribution. The process becomes more lengthy and complex. It takes longer for the prospect's needs and motives to develop as the gift decision grows in magnitude. This is logical—someone needs to have a strong belief in the institution and its vision if the ask is for $10,000 rather than for $1,000. Moreover, the number of people involved or who need to be consulted (for instance, a spouse, an accountant, and a financial advisor) increases with the size of the gift. As the gift decision grows in size, the donor is more likely to express decision making in rational terms even though the decision is increasingly emotional. An incorrect major gift decision has far greater negative potential than a smaller gift. The donor will take longer to decide because he or she does not want to make a mistake.

Asking for a major gift provides a wonderful opportunity to get to know people and to interact one-on-one. Why then do people dislike it so much? Perhaps it is the fear of "no," though as my mother is fond of saying, "If that is the worst that can happen to you, that isn't so bad." There are ways to prepare yourself so that "the ask" can be a positive experience. First, have confidence in yourself, what you are doing, and why you are doing it. Prospects will sense your confidence and that will inspire their confidence in you. Go to the meeting prepared. Show that you are well informed and have done your research about not only the specific project, but also the prospect and their interests and how the project reflects them. Communicate well. Remember the SHARE formula: Stop talking; Hear them out; Ask questions; Review their options; Enlist their help.

Ensure that you are asking the prospect to support something that is positive. Too many people assume that being needy is a good enough reason to be supported, but every institution has needs. Dwelling on financial problems may in fact cause the prospect to question the institution's financial management and stability. It may sound like a bad investment. Gifts come to institutions with answers and solutions, not those with financial problems and needs. Be specific. Sometimes a gift is not made simply because it wasn't asked for, or the ask was not specific enough to be understood by the prospect.

But even with all these suggestions, the response to your ask can still be "no." In my experience, this is rarely an unequivocal "no." Search for any opening that can be followed up on to keep the dialogue going with the prospect. Sometimes you cannot keep the dialogue going and you have to recognize when that happens. If the prospect says they have no interest in supporting your proposal, try to find out why. Even if that information will not be useful with this prospect, it may be helpful in another instance. And remember that hearing "no" does not mean that you have done a bad job. There are innumerable reasons why the prospect may not be able to support your proposal at the time that you ask, and not all of them have to do with you.

Of course, your case statement is integral to "the ask." I have assumed—and you will, no doubt, have read elsewhere in this book—that the case statement is your best opportunity to express to your prospects the benefits provided through your project. This document is your best sales tool. It offers an opportunity for you to tell about your project in such a way that the prospect will understand what programs and services will be provided and what the resulting benefits will be. It should directly relate those benefits to the prospects interests. The case statement must create a desire on the part of the individual to become involved in your effort and be associated with your cause.

Recognition and Stewardship

Obviously, the fundraising process is not finished when you receive a gift. Although good stewardship can assume many forms and include many activities, the most important is the institution's policy of saying thank you. This is a basic courtesy that we display towards our friends, acquaintances, and coworkers every day, yet it is interesting how often we forget to say thank you to our donors. Too often the planning of the social recognition event too quickly absorbs us and we forget to send a simple thank you as the first step in the recognition and stewardship of the gift.

It is important to understand that donors experience a post-major-gift-anxiety period and that they value reinforcement of their decision to make the gift as soon as possible after it is received. A major gift is a gesture symbolizing great trust and belief in the organization and this trust and commitment must be acknowledged and recognized quickly. Simple gestures like calling the day after receiving the gift commitment to thank the donor once again can have a profound impact on the donor's belief that they have made the right decision in giving the gift.

Traditional but important ways of saying thank you include writing letters, making phone calls, and giving plaques and mementoes, as well as expressing appreciation during personal encounters. Appreciation can also be expressed in ways that are unique to the individual donor or institution. The UBC Library has commissioned chocolate molds of the Main Library from a local chocolate company and these are given as gifts to the many chocolate lovers among our donors as thanks for their support for our Main Library building project.

Recognition of major donors is one of the most critical and important aspects of a development program. How an institution says thank you is a reflection of the character of the institution, the judgement of the staff, and a predictor of future fundraising successes. Donor recognition helps bind the donor to the institution.

No matter what level of gift your institution considers to be a major gift, it needs to be recognized in a sincere manner befitting the size of the donation. A key component in the success of the recognition event is knowledge of the donor, what they like and dislike, and what interests them. As a result, most major gift recognition events are developed on a case-by-case basis, in concert with the donor. Some donors are interested in recognition events, while others want no public recognition at all. I have learned that the desires of the donor must be the guiding factor in the arrangement of any event.

How do you thank the donor who wishes no public recognition for her gift? In such cases, the president of the institution can play an important role by visiting the donor personally and bringing gifts or special mementoes of the institution. Keeping the donor informed could also be done by the president to ensure that the donor is aware of the importance of his gift and its significance to the institution. Creativity plays an important role in honoring major donors. Often, major gifts have come from donors who made smaller gifts in the past and have been thanked for them. Ensuring that the recognition for a major gift is different from that for a smaller gift takes thought and imagination.

Stewardship of the gift is a natural extension of the recognition phase. As part of stewarding the gift, you will want to make sure that the donor is aware of what is being done to ensure that the gift is being used as intended. Regular reports and communication between the donor and the institution are an important part of confirming that the donor's intentions as detailed in the deed of gift are determining how the gift is being used. The same techniques used in cultivation are applied in stewardship. Fundraising is a continuum: as you steward one gift, you are to a great degree cultivating the next gift.

Sometimes things don't go well and the project funded by a donor encounters difficulties. Good stewardship includes never trying to cover up difficulties or avoid contact with the donor because the project is in trouble. Even these negative situations can become opportunities to meet with the donor, inform him about the difficulties, and engage him in trying to find solutions. This can result in even stronger relationship between the donor and the institution.

Conclusion

As with any process, fundraising is a continuing cycle. Identifying those who can be your supporters and then learning about them and their individual values, interests, and tastes are the first steps in this cycle. Successful institutions offer donors opportunities not only to meet the needs of others, but also to find personal fulfilment by encouraging them to find meaningful involvement with the institution. If prospects have been appropriately identified, informed, and involved in ways that are of interest to them, there is a good probability that they will be willing to invest in the institution and its vision. Once a gift is received, the process of recognition and stewardship begins, as does the cultivation of the next gift.

Fundraising cannot be a random process unattached to the institution's vision if it is to be successful. Too often, fundraising campaigns are organized around immediate needs rather than the institution's vision and the financial goal is set at what can be achieved during a two-to-four-year period, rather than what is needed. Once that goal has been reached, the campaign is complete and the institution reverts to its former state. Unfortunately, those priorities that were not funded by the campaign usually remain unmet until the institution begins its next campaign. This kind of fundraising can lead to campaign fatigue and donor cynicism if donors begin to feel that they are contacted only when their financial support is required.

The amount an institution can raise is not necessarily the amount it needs to fulfill its vision. As Salvatore Polizzotto notes, a campaign is "not a substitute for a continual, mission-based program of major gifts fundraising." At the University of British Columbia, the president has recently decided that, rather than mounting a multi-year capital campaign with specific projects and funding targets, UBC will recognize the value of sustained development by planning to increase the gifts received by the university on an annual basis. The plan is to double the amount now received annually and then to sustain it at that level. This is a markedly different strategy than that employed by other institutions that mount multi-year campaigns with specific funding targets. To continue to grow and develop as an institution and with its donors, UBC believes that it must engage in sustained, vision-based growth rather than one-shot tactics. The university's mission and vision will be integral to its fundraising success.

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Chapter 9

Capitalizing on Special Collections to Produce a Successful Development Program

George D. Terry

The University of South Carolina, founded in 1801, has always had a rich tradition of building special collections. However, these collections have never detracted from efforts to build a fine general and research library to support student and faculty needs. The primary institution of higher education in South Carolina, the University of South Carolina can lay claim to erecting the first free standing library building in higher education. This building, constructed in 1840, now houses the South Caroliniana Library. By the 1850s, the library had built a collection second only in the South to the University of Virginia. The South Caroliniana collection has long been recognized as one of the finest collections of southern history and culture in the United States.

The Thomas Cooper Library, the flagship library within the eight campus University of South Carolina system, is one of the largest university libraries in the Southeast. Thomas Cooper Library is seven stories, each a square acre, and contains almost six million volumes and materials. The library has a large computer lab and delivers electronic materials across campus. It also has one of the largest interlibrary loan departments in the nation. The university serves a faculty, staff, and student body of over 30,000 individuals.

Although the early years of the university were characterized by library growth and excellence, the meager years following the Civil War and the slow recuperative decades of the 20th century saw only limited growth and scant recognition. It has only been in the past 15 years that library administration and staff sought to bring new recognition to our libraries, to highlight their role within the educational mission of the university, and to secure additional financial support. To do this, the library staff embarked on a project to evaluate the relative quality of academic and library departments, with an eye toward building on both local and regional strengths. Special collections in major research libraries have long helped to shape

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the identity of those institutions and we felt that the University of South Carolina was no exception. We decided to capitalize on the strengths of our established reputation in southern history in the Caroliniana Library and our expanding natural history collection at the Thomas Cooper Library. We also knew that if we were to succeed in our goals, we needed to look for other subject areas where we could begin to shape major research collections.

In 1991, we launched a media campaign to publicize our efforts to improve library holdings. Several collectors and scholars who were familiar with the university libraries expressed interest in donating their collections. Each had used our services, but each had also been rebuffed by the library administration in past years out of a feeling that too great a focus on building special collections would deter the development of the general collections. Now, library administration felt differently. In addition to our decision to build on our established history and natural science collections, we made major investments in Scottish literature with the G. Ross Roy collection and in modern American literature.

In 1993, the library acquired through purchase and gift arrangement the Matthew and Arlyn Bruccoli's F. Scott Fitzgerald collection, known as one of the finest collections of its kind in the United States. We used these collections as a way of focusing our efforts and resources in four major areas of study: 1) southern history and culture, 2) Scottish literature, 3) modern American literature, and 4) natural history. Today we continue to develop and promote these collections in a variety of ways to encourage our faculty and students to capitalize on these strengths in their research and teaching.

These special collections also became the foundation of our fundraising activities over the course of the next several years. In 1993, the library did not have a development officer. In fact, most colleges at the University of South Carolina did not have a development officer at that time. Private fundraising was not a priority at the university until the 1980s when South Carolina launched its first capital campaign with a development office composed of five full-time staff members. The goal of that first campaign was set at a modest $35 million and it took three years to bring that campaign to its successful conclusion.

In 1993, the University of South Carolina had less than a one-million-dollar endowment for its library programs. By the middle of the 1990s it was evident that the university would need to mount a major fundraising campaign to increase support for the library. In the earliest planning stages of the university's emerging capital campaign, the library administration decided to break new ground and invest in a development officer even before the university announced its plans. This was a very sound early decision. We were able to attract an extremely professional and capable individual who had more than 15 years experience at the university. Ms. Carol Benfield's prior experience included years as director of the President's House, head of University Special Events, and as a special assistant to the president of the university. A Phi Beta Kappa graduate and a Carolina Scholar, she had extensive knowledge, of not only the individuals within the university, but also potential donors within the community. Within a year after her arrival, the university's central development office began to expand rapidly and every college on campus competed to recruit its own development officers.

In the library, the new development officer and I worked with a team of individuals within the library to formulate a plan for our activities. We had no alumni and, therefore, were very much at a disadvantage in identifying potential donors. We started by going through records of individuals who had given funds to the library over the past 10 years. We built a list of approximately 500 individuals—anyone who had a record of giving even modest sums to the library.

While this process was underway, our new development director visited other universities, including the University of Tennessee, and met with individual development officers at these institutions. The benefits of these visits cannot be overstated. They provided extremely useful advice and insight into the unique aspect of development for libraries. Inspired by the library magazine produced at Tennessee, we also began plans to publish our own. We wanted it to be both informative and an effective development tool. The publication of South Carolina's *Ex Libris* is now in its seventh year. It is very artfully designed and provides good information to both the general public and book enthusiasts alike. Although its primary focus is on materials within our special collections, it also provides a great deal of information about our general collections. *Ex Libris* has won numerous national awards. A key to its success is its contributors. They include a vast variety of library faculty, staff, and even recognized members of the community. The response to *Ex Libris* provided a stimulus to the production of other print materials. The library was fortunate to have an endowment to support publications about its collection. This endowment also helped to support other types of publications, including interviews with such noted writers as George Plimpton and John Jakes. Other publications were also produced during the early stages of the campaign. One of these focused on preservation, a second emphasized the general collection, and a third highlighted information technology.

Another development lesson learned from visiting other university libraries was the importance of engaging the public through participation on service committees. With this in mind, we began to recruit members for what was originally called the Library Advisory Board but was later changed to the University Libraries Executive Committee for the Bicentennial Campaign. Headed by a former college president, members for this body were selected from across the region. Although they were committed to the need for a strong university library, it was the growing reputation of special collections that attracted most of the individuals who agreed to serve.

Building an integrated development program based on the appeal and quality of special collections involves recognition of the unique aspects of these types of materials. Unlike the large circulating collections, special collections have a multiplicity of appeals for donors. Many donors are attracted by the physical presence of old, sometimes rare, and sometimes beautiful books. Others are drawn to a particular subject and still other donors are attracted to the exciting prospect of meeting and listening to well-known authors and scholars. A successful development program built around special collections requires the involvement of numerous members of a library faculty and staff to assist the development office in its work. Securing financial support for a library is not a one- or two-person job. It takes a team of dedicated individuals throughout the library to provide broad-based support and assistance in this endeavor. As our special collections staff grew, each one was informed that an essential part of their duties was to participate in development activities. They also knew that an important part of these duties was to exhibit particular parts of the collection in order to show potential donors and the rest of the community the rich treasures that we have been collecting.

In addition to the library's faculty and staff, our development efforts were enhanced by strong support from the university's central development staff, which has grown significantly over the past seven years and now includes more than 60 development officers. We have been able to create partnerships with many college development officers on campus. But more important to our success has been the support we have received from our planned giving officers, and from the individuals researching the background of potential donors and their past giving history. Often, the library received gifts because of the work of these individuals in our central office. In some cases, donors cultivated by other colleges have become more interested in the library's holdings than they were of a particular discipline. Although the university emphasized endowed professorships and chairs to support programs in most of the colleges, a number of donors have decided to support the library's more tangible needs instead. On other occasions, donors who have already made a significant contribution to a college have also elected to support the library because of family papers or other personal materials housed at the library.

The University President, John Palms, has been very supportive of our efforts. On two occasions, formal commencement dinners were held at the Thomas Cooper Library and other university-wide events were held at the South Caroliniana Library. Needless to say, they were all attended by potential donors that the library had identified and added to the guest lists. Other public events and programs were planned with a goal of developing a loyal community of donors who enjoyed meeting writers and other "book people."

Following the notice generated by the library's early acquisitions of the Fitzgerald and Scottish literature collections, we sought to build on that excitement. We augmented our modern American literature collecting activities with the acquisition of the papers and manuscripts of Joseph Heller and later John O'Hara and James Ellroy. We established a collection of modern political material, including the papers of well-known political figures in the state. This collection has attracted endowment funds from a number of individuals throughout South Carolina, including former governors of the state. We also continued to make purchases of significant documents related to southern history and culture—for example the Chesnutt-Manning collection of over 300 letters written during the Civil War, and three unpublished diaries by Mary Boykin Chesnutt, best known as the author of *The Diary from Dixie*. Mary Chesnutt's diary has been published in three different versions, the latest by C. Vann Woodward, who won a Pulitzer Prize for the edition.

Our development director recruited a first-rate staff. Their productivity can be measured by the fact that I had to spend two or three hours per week signing letters and writing personal messages to potential donors. It is very gratifying when I receive notes from these individuals telling me how much they appreciate everything we do for them. We created an in-house donor database that indicates when a letter was sent and if anything was sent with it such as a catalog, *Ex Libris*, or even a book. The database became very important for a number of reasons. We had an unwritten rule that materials would only be sent on a bimonthly basis to individuals, so as not to make them feel "stalked" by our library. By 1996, *Ex Libris*—which had a pledge card listing such options as planned giving and five-year pledges and a regular illustrated section on recent gifts—was beginning to pay off, so we soon realized who our real donors would be. Donations began to come in more rapidly. Perhaps one of our most outstanding gifts was from an individual who did not attend the University of South Carolina. He told me over lunch that because of our growing reputation, he was prepared to give the library a magnificent Charles Darwin collection. When I asked about an endowment to support the maintenance and growth of the collection he responded, "Isn't that your job?" I told him we had limited resources but that we would match dollar for dollar with private funds any amount of money he gave for the collection. He wrote out a check for $25,000. We did match all of the donation designated to support this outstanding collection. He then proceeded over the next several years to visit us on a regular basis to work with our special collections curator (one of our development officers) to select items to fill out his collection. He became so enthusiastic about working with us that he has now provided the library with an irrevocable trust of $1.4 million. Our plan is to use these funds to support a new special collections library building on our campus.

In addition to relying on library staff and the members of our two friends groups, the Thomas Cooper Society and the South Caroliniana Society, we decided to enhance our fundraising activities by assembling a group of individuals across the region who would assist us in fundraising. We were candid with each individual we recruited and let them know that they would never have to ask for money. Instead, they would be expected to be our advocates, host receptions at their homes, and help us identify potential donors in their communities. The group included individuals living in Virginia, New York, North Carolina, and Georgia. It is interesting that despite our pledge that no one would be expected to solicit funds, as time went on, several members of the group became so enthusiastic about our growth that they began to ask for support on our behalf. We were very fortunate to recruit Dr. Robert Ackerman as chairman of this group. A former president of Wesleyan College in Georgia, he is quite astute at soliciting funds. The group also includes former state representatives and senators, judges, and various community members. We also have three former student body presidents on our fundraising group. Not only are they still well known by their classmates, but they bring new donors from their circle of friends established since their time at the university.

The importance of our long-established friends organizations, the Thomas Cooper Society and the South Caroliniana Society, is another matter altogether. Those two organizations provide us with a very important development tool. Each organization offers diverse public programs that bring notable scholars and popular speakers to campus. Our donors appreciate having the opportunity to meet "celebrities." Individuals such as Budd Schulberg, winner of the 1957 Academy Award for writing *On the Waterfront*; George Plimpton, founder of the *Paris Review*; historians William Freehling and James McPherson; and John Updike have participated in our "friends" activities. We have always been careful to make sure that at least one meal is reserved for attendance by a small number of donors. Donors enjoy the personal contact with noted writers and it is probably the most important tool we have to continue donor enthusiasm for our library.

Many research libraries across the country have expressed doubt about the benefit of friends organizations. Despite the amount of staff time involved, we have found that these organizations allow us to identify new supporters. In some instances, they even help us identify individuals who we never thought would be potential donors. A case in point is a gentleman whose family has lived in South Carolina for five generations. He, his mother, and his grandfather collected material on South Carolina and the South relating to the period between 1870 and 1900. This material is so rare that over 40 percent of the collection was not even duplicated at our South Caroliniana Library, which has been collecting southern history for over 60 years. The donor who gave us the Darwin collection was a boyhood friend with this noted collector of South Carolina history. He told his friend how pleased he was about giving his collection to the university and with the way the library was taking care of it. The collector of southern history finally decided to donate his collection to the university, as well. The collection is valued at well over $280,000. Like the Darwin collection, his collection will prove to be a valuable research and teaching resource for many years to come.

Because of the publicity these valuable research collections have garnered throughout the community, donors have been encouraged to approach us on their own. Some of these donors were not on our list. In fact, our goal now is to reduce the list of individuals we cultivate to approximately 100. Each of these individuals is capable of giving significant gifts to the library. In 2000, we hired a second development officer. Her responsibilities are to develop what will be called the Ex Libris Society, an organization that will recognize on an annual basis every donor who gives at least $1,000 to the library's endowments. She will also be in charge of annual giving. We have added a graduate assistant to the development staff to provide the necessary support for her new duties.

Whereas seven years ago our development program was nonexistent, today it has become quite vibrant and sophisticated. The library now has a consolidated endowment of well over $8 million. Bequests have reached a total of over $5 million. In addition, a number of gifts that support the purchase of collections are also over $1 million. We are fortunate to have not only a dedicated development team, but also so many people within the library and the faculty committed to ensuring the success of our program. The benefits of special collections have proven to be: 1) increased visibility for our library; 2) an enhanced reputation that will strengthen the library for many years to come; and 3) increased endowments not only for special collections. For example, a number of endowment accounts have gone to our new conservation facility. This facility is run by three library conservators, one of whom specializes in conserving maps, prints, and paintings. In addition, there are a number of library and information science interns who assist the conservators in their work. This staff presents small seminars and demonstrations to potential donors on how their books and materials can be better cared for. Many donors become so enthusiastic about what the lab is able to accomplish that they have created specific endowments for family papers and other materials.

Because of the attention the library has received from acquiring collections over the past few years, endowment monies have also come to us for areas such as our business school library. It received a bequest of a half million dollars from one donor. Major endowments have also been received to support our music library and a $1.5 million endowment was received to support general undergraduate education. The spillover effect is something that we always expected. Our development officers know that we are raising money for the entire library, not just special collections. In 1995, we produced a video that spoke about the library as a whole and we believe firmly in promoting all of our libraries. However, emphasizing special collections has helped highlight and give an identity to what we do. In February 2001, we will be announcing the acquisition of the largest Ernest Hemingway collection remaining in private hands. The collection includes numerous letters from e.e. cummings, John Dos Passos, William Faulkner, and a host of artists and composers who made an impact on the first half of the 20th century. This acquisition was supported by a gift from an alumnus who graduated from the University of South Carolina in 1950 but had never been in the Thomas Cooper Library until the day he was asked to make the gift. He was attracted to the library because of what he read about our collections. After being in the library for only 30 minutes—looking at some of our existing Hemingway material and selected items from the Fitzgerald collection and speaking with an enthusiastic faculty member—he decided to make the donation. These are the types of gifts you work very hard to secure and they produce rewards you can only dream of.

The library has found that over the past seven years our emphasis on building special collections has generated a great deal of community interest as well as an enthusiasm on the part of faculty, staff, and students to use these collections. Our special collections have brought more individuals who have the potential to assist us with our development activities into the library than ever before. We have also offered public programs that reach a broad range of individuals in the community and on campus who are capable of making donations to our endowment funds. What lies at the heart of our success is reminding both the scholar and popular reader alike of the value, power, and longevity of the written word. While the individuals we reach bring their own personalities as antiquarian bibliophiles, Civil War enthusiasts, or contemporary author enthusiasts, they are tied together by their enjoyment of books and their belief that libraries fill an important role in our society. Special collections have provided us with an opportunity to bring diverse people together and create personal relationships with targeted individuals. This has allowed us to develop an ongoing and strong development program for our library.

One piece of advice I would offer any library director who wants to initiate an ambitious development program is to be prepared to gain weight, since there are many meals that you will be expected to have with donors. There are also many glasses of champagne and sherry consumed at retirement homes, so be careful. The second piece of advice is to be prepared for backlash from your faculty and staff when you initiate your development program in special collections. Often, there is resentment or a fear that the general collection will be neglected while this process is being initiated. The investment in a first rate magazine such as *Ex Libris* and the addition of individuals to your special collections staff may be resented by some of your colleagues. My advice is to ignore the problems and do what you know is right. The benefits derived from development based on special collections are truly priceless. My fourth piece of advice is to get your president and provost involved in these activities. They, just like our donors, enjoy having dinner with John Updike or William Styron or any of the other individuals who could be brought to campus; and they are, in the final analysis, sources of some of our biggest donations.

Chapter 10

Raising Funds for IFLA 2001: A Case Study in Conference Resource Development

James G. Neal

Librarians are increasingly required to apply development experience and expertise to the raising of funds for professional association programs and projects. Such initiatives involve many of the elements of an institutional fundraising effort but are also characterized by several unique elements. This paper will focus on the resource development campaign for the 2001 conference of the International Federation of Library Associations and Institutions held in the United States. The literature on library fundraising generally focuses on the development activities of individual libraries, often in relationship to their parent organizations. There are no substantive discussions of fundraising for association purposes.

Development is now a core component of administrative assignments in most American libraries. Significant new funds are needed to supplement regular budget support, enable major new program initiatives and building projects, and provide endowment growth to guarantee long-term fiscal capacity. Required skills include: building a compelling case for support, identifying and cultivating prospective donors, and recognizing and celebrating contributors. Fundraising activities often align with a broad institutional campaign that includes a substantial goal, a dedicated staff, an extended timeframe, well-designed promotional materials, and massive but strategic outreach to supporters and constituents. In the case of fundraising for association activities, the skill requirements are comparable, but typically the infrastructure is less substantive and more ad hoc, relying primarily on the volunteer efforts of member leaders.

Professional library associations often must turn to sources outside the organization to solicit funds to carry out special activities. Typically, it is the vendor community, those companies that serve the library marketplace, that are asked to provide financial support for, among other things, conferences, awards, social and meal functions, scholarships, and speakers. There is a strong tradition of support from publishing, equipment, and technology companies for such activities. Such sponsorship is seen as serving the objectives of the vendors in several important ways. It creates corporate visibility and exposure, and produces opportunities for marketing of corporate products. It brings appreciation to the business and demonstrates the "citizenship" of the vendor.

The International Federation of Library Associations and Institutions (IFLA) was founded in 1927 as an independent international nongovernmental association. The aims of IFLA are both to promote international understanding, cooperation, discussion, research, and development in all fields of library activity and information science and to provide a body through which librarianship can be represented in matters of international interest. Based in The Hague, IFLA currently has more than 1,500 members from 140 countries. An Executive Board is responsible for IFLA's general policy, management, and finance. The Professional Board monitors the planning and programming of professional activities that take place through a network of core programs, divisions reflecting type-of-library and type-of-activity interests, discussion groups, and standing committees.

Many U.S. library associations, organizations, and libraries are members of IFLA, and many American librarians have played important leadership roles. The U.S. library community brings significant professional issues to IFLA, including access to information, copyright and fair use, intellectual freedom, public awareness, and support for libraries, for example, all with global implications. And there is expanding recognition that what happens globally affects U.S. libraries.

One of the most important components of IFLA activities is the annual council and congress that brings together librarians and other professionals from around the world to work on the business of IFLA, to share information and experiences, and to network with old and new colleagues. The conference program includes meetings of IFLA boards and committees, a major industry exhibit, numerous presentations and workshops, visits to local libraries, cultural activities, and social or meal receptions. The IFLA Board seeks to move the annual conference venue around the world to maximize participation and regional visibility. Most recently, the conferences have been held in Jerusalem (2000), Bangkok (1999), and Amsterdam (1998). The selection of Boston for the 2001 conference was made in 1996, and an U.S. organizing committee began planning that fall. The IFLA conference was last held in the United States in 1985 in Chicago.

The IFLA 2001 National Organizing Committee included representatives from national library associations in the U.S.: American Association of Law Libraries, American Library Association, Association for Library and Information Science Education, Association of Research Libraries, and Special Libraries Association. Early in the planning process, a structure of subcommittees and core assignments was established. This included the appointment of co-chairs, a secretary, and a treasurer; and the charging of groups in the areas of finance, registration, local planning, exhibitions, publicity, and fund development. A conference theme was chosen—"Libraries and Librarians: Making a Difference in the Knowledge Age." Congrex, a firm based in the Netherlands with international conference experience, was hired to plan and manage the conference in partnership with the organizing committee.

The organizing committee recognized early in the planning process that significant attention must be extended to the financial and business plan for the conference. The major sources of financial support for such an international meeting are registration fees from attendees, charges to exhibitors, and external donations. It was important to keep the fees for registrants and exhibitors at reasonable levels to maximize attendance and encourage vendor participation. Unlike the situation in other countries where IFLA meetings are heavily subsidized by government grants, no such funding was available for international conferences in the U.S.

Thus, external fundraising was a high priority for the organizing committee. As the budget for the conference was outlined, an ambitious development goal of $1.5 million was adopted. A volunteer team of fundraisers, eventually working with Congrex staff, was appointed, and a detailed campaign plan was developed. The plan included a case statement of needs, the identification of prospective donors, a strategy for contacting and soliciting those donors, and a recognition program. It was important to coordinate this development effort with IFLA, which also was trying to expand its membership base and raise external support from the vendor community.

The case statement was centered on the following message:

> The world's library community will assemble in Boston in August 2001 for the annual conference of the International Federation of Library Associations and Institutions (IFLA). We expect over 3,500 librarians from over 100 countries to participate in programs and activities around the theme of "Libraries and Librarians: Making a Difference in the Knowledge Age." We need your financial support to make this conference a success. Your investment in IFLA 2001 will enable us to showcase North American library innovation and accomplishments and to create a venue for learning and collaboration which is characterized by high quality and positive impact on the participants. Libraries and their users find themselves in the midst of a global revolution in technology, publishing, learning, and information services. The IFLA conference is an excellent forum for building understanding and cooperation in these areas. We have set a fundraising goal of $1.5 million, which will combine with registration and exhibitor fees to meet the budget requirements of the conference. We need a broad base of financial assistance. IFLA 2001 will be a great event because of your generous support.

Prospective donors were identified. The library vendor community was seen as an important source of support, given the tradition of investment in library conferences. But the organizing committee felt that it was critical to demonstrate a strong investment from the library community first. In addition, it was necessary to generate a base of working capital to proceed with conference planning before the flow of registration and exhibitor fees in early 2001. During this silent phase of fundraising, five national library organizations committed $200,000 as North American Partners with gifts of $25,000 to $100,000. Another six organizations contributed $40,000 as Library Partners, and a significant base of funding was in place to launch conference planning and the fundraising campaign.

A goal of $600,000 was established for fundraising from the library community. A schedule of recognition categories was established, including North American Partner ($25,000), Distinguished Library Partner ($10,000), Library Partner ($5,000), and Library Friend ($1,000), the last category made available at the end of the campaign. Approximately 1,200 library organizations were identified for contact, and the case statement—along with an appeal for financial support—was sent by letter and email to the director. Follow-up letters and emails were sent to the larger organizations and to those in the New England states. These U.S. and Canadian organizations were academic and research libraries, state and regional library associations and networks, divisions of national library associations, major public libraries, selected law and medical libraries, U.S. members of IFLA, schools of library and information science, and other library related associations. Personal telephone contacts were also made with the larger libraries. As a result of this appeal, donations were received from individual librarians and a new general recognition category of Friend was created.

A goal of $600,000 was established for fundraising from the vendor community. A similar schedule of recognition categories was established, including IFLA 2001 Champion ($50,000), Distinguished Corporate Partner ($25,000), Corporate Partner ($10,000), and Corporate Friend ($5,000). Approximately 250 companies around the world serving the library community were identified for contact, and the case statement with the same appeal for financial support was sent by letter and email to the appropriate contact person for international conference and sponsorship activities. Particular emphasis was placed on contacting those companies that registered as exhibitors at the conference and those that have traditionally provided support for IFLA conferences. Personal follow-up contacts were made by phone and in person at national and IFLA conferences.

There was a series of special opportunities created for vendors. Four timeslots were set in the conference program for "industry updates" with minimal competition from other program activities. With an investment of $50,000, a company was able to present its products and services to conference attendees during a scheduled and broadly promoted session. Two of the all-conference receptions included opportunities for companies to hold "receptions within a reception" and to invite their current and prospective customers. With an investment of $30,000, a company was able to hold such an event in a designated area of the reception site and to receive wide promotion through conference publications and schedules. A list of sponsorships for various conference programs and activities was developed and contribution levels assigned. These included conference information system, first-time attendees breakfast, delegate name badges, conference bags, conference newspaper, final conference program, invited speakers, exhibit ribbon-cutting ceremony, opening reception, simultaneous translation system, volunteer sweatshirts, internet facility, and lanyards. All of these sponsorships included prominent display of the company name and logo. In addition, general unrestricted support was sought from vendors. And there were many opportunities for corporate advertisements throughout conference publications. Late in the campaign, an effort was made to identify companies in the Boston area of sufficient size that could be approached for support. Approximately 400 companies not involved in library products or services were sent a letter presenting the case and an appeal for support.

Gifts of $1,000 were recognized as Distinguished Boston Partners and $500 as Boston Partners.

Early in the planning for the IFLA 2001 conference, the organizing committee decided to promote the expanded participation by librarians from developing countries, including Africa, Asia, and Eastern Europe, but with a particular focus on Central and Latin America. A program of sponsored fellowships at $3,000 each was established to cover the costs of travel, housing, meals, and conference fees. A goal of 100 fellowships or $300,000 was established. Support was sought from foundations and government agencies with an interest in international matters and from companies and library organizations. The fellows carried the names of their sponsors at the conference as one form of recognition. In addition to participating in the many programs, workshops, and other professional events at the conference, the fellowship recipients also had opportunities to visit U.S. libraries and to extend their stays through invitations from U.S. librarians. The fellowship program expanded similar efforts launched by the Danish and French library communities. The program generated enormous interest around the world, with over 1,000 applications received for the 100 funded fellowships. An independent committee was appointed to establish criteria, to review the applications, and to select the fellows. In some cases, the fellowship sponsors indicated preferences for the country or type of work of their fellows.

Recognition of support is critical to success in any fundraising campaign. In addition to the recognition categories and the named fellowships, several other strategies were implemented. All donors were prominently listed on the IFLA conference website with use of corporate logos and links to corporate and organizational pages. Sponsors of conference events and activities were verbally applauded throughout the conference and vendor names and logos were displayed. A special brochure was prepared and distributed to all conference attendees listing the name of all donors under the various categories. And a special reception was held for all donors where their support was celebrated by the organizing committee.

Although IFLA 2001 is a unique event in American librarianship and the size of the fundraising goal was unprecedented, there are important lessons that can inform future association conference development activities:

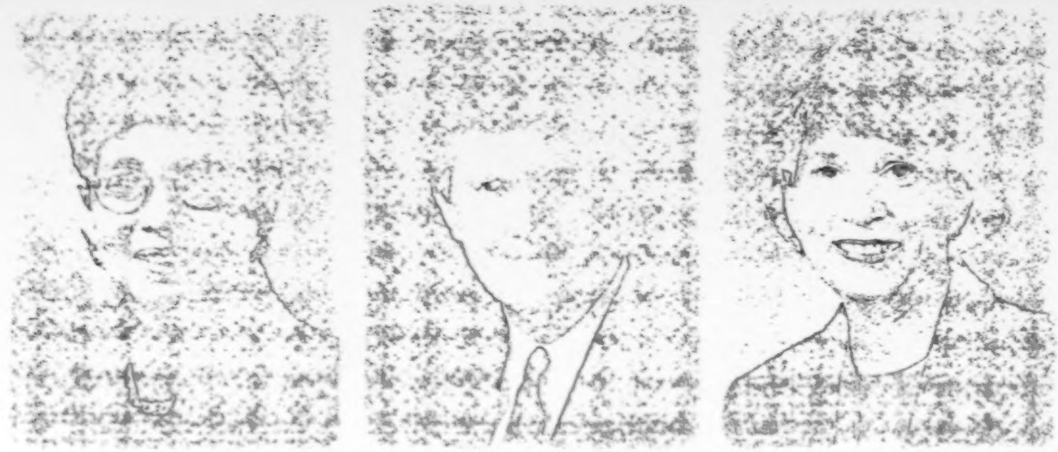
> Libraries and library organizations are increasingly contacted for financial support for various causes, and there is some resentment and frustration about these appeals. It is difficult and, in some cases, impossible for libraries to make contributions from operating funds. There is also a strong and legitimate concern that such donations are inappropriate in the face of declining budgets.
>
> In the library corporate sector, there is limited understanding of the IFLA conference and its participants, unwillingness to make commitments too far in advance of the conference dates, difficulties in reaching decisions about donations because of turnover in corporate leadership and corporate consolidations and buy-outs, and significant financial and market difficulties. Philanthropy remains an important corporate interest, but it also needs to translate into corporate benefits.

It is critical that the library community show substantial willingness to invest in its own causes before turning to the vendors for support.

Such a significant fundraising effort needs organization and strategies, and the campaign model of case statement, cultivation, solicitation, and recognition is very desirable.

Prospective donors respond positively to a range of giving options and the ability to see the impact of their investments.

The resource development program for the IFLA 2001 conference is an excellent case study in successful fundraising for an international library event. Drawing upon the development experience in American librarianship, it demonstrates that models and strategies from institutional campaign activities can be effectively migrated to a more comprehensive and national effort.



Chapter 11

What Motivates Presidents to Raise Money for Academic Libraries?

Candace J. Groudine, Ph.D.

Introduction

In the January/February 2000 issue of *Educause Review*, a panel of distinguished experts on academic libraries and their transformation during the 20th century made a number of colorful and provocative observations and predictions. They all agreed that because of technology, rather than in spite of it, library directors and librarians will become more active participants in the enterprise of their institutions; their role as "stewards of campus information" will continue to increase. One academic library consultant went so far as to state that the most appropriate way of understanding how libraries will develop in this new century is to see them as the "DNA of the academic institution." Just as DNA determines the features and characteristics of a human being, so will the academic library "determine the character and quality of the institution." Other metaphors used by these experts included characterizing the academic library as "the symphonic orchestra of the university"; the campus network's "pump" of scholarly information; and the "heart" of the campus where "the 'lifeblood' of study and research is transported throughout the institution."

While these statements may have sounded a bit dramatic a few years ago, they now reflect notions about academic libraries that are becoming more common every day. They are also notions that seem to be shared by most college and university presidents as they have become more knowledgeable about the role of the library in the academic life, campus culture, and future of their institutions. This fact is a fortunate one since it is the transformation of not only academic libraries but also the campus library director's institutional role that appear to provide a good deal of the motivation for a president's fundraising for libraries.

In the pages that follow, I attempt to build a case for drawing a close connection between what conditions must be present for college and university presidents to be motivated about fundraising in general and what conditions *are* present with respect to the transformation of academic libraries. By exploring this connection, I hope to provide some insight about successful fundraising approaches for presidents and library directors who are thinking about launching a campaign for their libraries.

Background on this Research

Purposeful sampling is probably the most accurate description of the kind of sampling used to support my observations and conclusions. My goal was not to achieve any sort of population validity—that is, where the results could be generalizable from the sample that participated to a larger group of individuals. Rather, my selection of the particular college and university presidents was made because I already thought, before writing this chapter, that these presidents were probably a rich source of information—information about how and why they were successful in raising money for their libraries, and, of course, information thatcould be used in a practical way by others contemplating a library fundraising campaign.

As in all purposeful sampling, my interest was in maximizing the variation of the samples. Therefore, I intentionally selected 15 institutions that together represented a wide range of types of institutions. All of the institutions could be characterized as either smal- or medium-sized, private liberal arts colleges and universities. There was one Historically Black University in the South; four were church-affiliated colleges and universities (two Catholic and two different Protestant denominations); the rest were nonsectarian colleges and universities. Their geographic spread was wide, ranging from two colleges in the Northeast, two in the South, one in the mid-Atlantic region, one from the Pacific Northwest, several from the Midwest, and several from the West and Southwest. In addition, six of the presidents were female and nine were male. With respect to the fundraising experience of the presidents interviewed, again, there was a wide range—from no experience before assuming the presidency of their institution, to years of experience at two different campuses where they either launched a capital campaign or completed one initiated by their predecessor.

Of course, if my sample had been greater and included more representatives from the different types just mentioned, it is possible I would have arrived at different conclusions about what seems to motivate presidents to raise money for their libraries. But again, my goal was to uncover information that might help to build some theory about presidents of liberal arts colleges and universities and what is likely to "work" when they try to raise money for academic libraries.

I decided against using a questionnaire to interview the presidents and instead used a combination of telephone and face-to-face interviews. My reasons were twofold: first, I think it is difficult for a questionnaire to probe more deeply into the respondents' feelings, attitudes, and opinions; and second, I wanted the option of being able to modify the items—that is, to follow up on a president's answer to obtain more information and clarify any vague statements. The format was that of an informal, conversational interview and standardized, open-ended questions. Each president was asked a predetermined sequence and wording of questions—approximately 15 questions in each case.

None of the presidents is identified by name, nor are their respective institutions. Each president was told about this condition of anonymity from the moment I asked them if they would be willing to be interviewed for this chapter. My reason for keeping identities anonymous was that I thought the presidents would be more willing to be as frank as possible about their experiences—both bad and good—and about their feelings and attitudes about library fundraising. For example, I did not want them to have any concerns about what trustees might think when reading the chapter if a president's remarks did not reflect well on his or her board, faculty, community, or even the presidents themselves. Wherever there are quotation marks around a word or group of words in my descriptions of what the presidents said, these words were uttered by one or more presidents unless otherwise noted and in one or more cases.

What Did The Presidents Say?

All of the presidents said that they enjoy fundraising for their institution, and this was the case whether the fundraising was in the context of a capital campaign, a specific project other than the library, or for the campus' library. However, two of the presidents said that while they had not looked forward to the fundraising aspect of their job, over time they came to like it. Most talked about their fundraising obligation as an "opportunity to show off" their institution; "make the case" for their institution; "tell the story" of their institution; and, as one president put it, "to tell what **you**, as president, can do and are doing." Another president said that the day he became president, he realized that at least 50 percent of his time was going to be as a fundraiser, and then he added, "So I decided I had better learn to like it."

When the questions focused on their experience with library fundraising in particular, again, all of the presidents said in one way or another that they saw the library as an "opportunity to sell the institution." A large part of that "great sell" was, according to most of the presidents, the fact that "technology" is "so closely associated with the academic library." They believed that there are many individuals who, while they may be relative laypersons when it comes to understanding the nature of the information technology revolution or how to use the technology available to them in libraries, nonetheless, have had enough direct, positive experience with a library's technology that they could be easily persuaded about the need for more philanthropic support.

Another compelling aspect of library fundraising for the presidents I interviewed was their near universal agreement that the library presented them with an opportunity to tell prospective donors what this part of the college or university "means to the whole institution." One president cautioned what seems to be obvious—but is often ignored—namely, that it is important to "know why you want the library (i.e., in the case of a campaign for a new library or in the case of improving the existing one) and how it speaks to your mission and goals for the institution." Most of the presidents said something similar to the way one president put it—namely, that "everybody seems to be able to buy into a campaign for a library." And as another president remarked, "Presidents like asking people to give to 'good causes' and the library in this regard, is a no-brainer."

A number of the presidents spoke about the metaphors associated with libraries—similar to those cited at the beginning of this chapter—"the heart of the campus," the "nerve center of the campus," the place and/or functions of a college or university that "everyone can relate to"—these were the ways that most of the presidents believed prospective donors viewed the academic library. One president noted that "the metaphor of academic quality" resonates well with prospective donors, since that is the way most individuals seem to perceive libraries. Another president said that she would urge her fellow CEOs not to be "apologetic" about their library's needs, since most prospective donors, she believed, would respond favorably to a case for support that focused on the library's "public service mission."

I think one premise underlying the remarks of most of the presidents relates to the heightened role of strategic planning in higher education today. Institutional decision making and strategic planning at liberal arts colleges and universities are becoming more integrated. If strategic planning is taken seriously by presidents, then they must see the promise that philanthropic support for the library offers in the process. Higher education institutions cannot answer fundamental questions about direction, service, teaching and learning, technology, and even mission without relying on the library and without some focus on the institutional role of the library director in the strategic planning process. The library also presents a perfect vehicle around which individuals, both internal and external to the campus community, can be energized about the institution's strategic planning process.

Were There Any Surprises in the Presidents' Remarks?

There weren't many surprises in the presidents' remarks. But there were a few. The greatest surprise to me as a development professional in higher education was in the responses made by most of the presidents about corporate and foundation fundraising. To be sure, presidents have much to do in addition to fundraising, and sometimes specific philanthropic opportunities may simply not be visible on their radar screens. However, I did not expect all but two of the presidents to say that corporate and foundation fundraising for their libraries were areas to which they had not paid much attention. Many of them believed that the potential for corporate support in particular was slight, while others believed that the only way they could obtain corporate support would be to place an even greater emphasis on the technology side of the library and pursue in-kind gifts of equipment. These presidents felt that corporations, in general, were not particularly interested in libraries except for the technology aspect.

As to the relative lack of foundation support for their libraries, it appeared that most of the presidents simply had not spent enough time looking in that direction. Although more probing would be required, my first hunch as to why the presidents were not terribly active in the area of foundation giving is that their relatively small development staffs were already overburdened just trying to continue effective cultivation with current individual donors and build relationships with new prospective donors, most of whom are alumni. Some of the presidents believed, however, that the potential for corporate gifts to their libraries might increase as the library continued its process of transformation and became more responsive to the needs of the campuses' surrounding business communities.

The two presidents who held different views about corporate support and its potential were more focused at the outset of their fundraising activities on securing big corporate gifts and, hence, seemed to create more structure around these efforts. For example, in the case of one president who described his campus as "probably more entrepreneurial than most," library fundraising was viewed as an opportunity to "attract entrepreneurs" and the new class of dot.com multimillionaires who he thought knew and appreciated the fact that society is knowledge-driven. Therefore, the library could easily become the metaphor, in a microcosmic sense, for our knowledge-driven society. Another president who had a fair amount of success in securing corporate gifts believed that this was the result of her forming a corporate gifts committee that forced the institution to more aggressively—and in a more structured and focused way—seek these donations. This same president also noted that the area's law firms were very much involved in a campaign for library support because of their first-hand reliance on libraries to function successfully.

Another finding that was not so much of a surprise as it was a learning experience for me was the fundraising role given by the president to his or her library director. There was more variation than I had expected. Only a few of the presidents made the library director a genuine "partner" in their fundraising activities. In these cases, the president would almost never meet with a prospective donor for the library without the library director being present not only to answer questions that the president might not be able to answer, but also to play an assertive and even "aggressive" role in educating the prospective donor about the library and its needs and to actively make the case for support—though the president, of course, would be the one to "make the ask."

Most of the presidents simply called on their library director from time to time to meet briefly with and basically to greet the donor. A few other presidents gave the director a purely behind-the-scenes role—that is, asking the director to provide them with background material on the library and its needs. Most of the presidents, however, admitted upon further questioning that because of both the changing nature of academic libraries and the transformation of the library director's and the librarians' roles, it would probably be the case that in the future their library director would play a more prominent and central role in the fundraising process.

I also found it interesting to hear several presidents say in different ways that they were motivated to do more in the area of library fundraising because their library director educated and excited them about what was going on in the library and about the contemporary issues related to information technology and information resources in general. As one president put it, the information his library director gave him and the routine briefings he requested of the library director were "enough to sell it (i.e., the library) to donors." One might, therefore, ask why there weren't more presidents who viewed the library director as a close partner in the cultivation and solicitation process. Library directors and librarians are among the more passionate and articulate professionals I know, and passion has a way of becoming infectious. Many presidents who don't make more direct use of these professionals in the resource development area are probably missing an opportunity to heighten the excitement level among prospective donors.

Understanding the Presidents' Remarks in a Broader Context

Other authors of case studies in this book have discussed the significant changes taking place in the world of academic libraries—changes that have transformed the nature of libraries at our research universities but are just beginning to be felt by the small and medium-sized, independent liberal arts colleges. These changes have also been helpful in motivating presidents who need to fundraise for their libraries. To understand this last point, let's first take a brief look at some pressing issues resulting from this transformational change.

Although numerous colleges and universities have developed consortia and other collective means of sharing information, acquiring electronic databases, and sharing resources, rising operating costs continue to be a serious problem for all academic libraries. There are also growing service demands placed on academic libraries, which even the more responsive institutions cannot meet effectively. Enabling students to have extensive remote access to substantial library resources (as Lesley University in Cambridge, Massachusetts, did as part of a 15-member regional consortium that includes diverse institutions) and even "outsourcing" a campus's library (as, for example, Chatham College has done) are smart responses to these challenges. But academic libraries at the smaller, liberal arts colleges must now, along with the larger institutions, deal with such issues as reducing acquisitions, cutting library staff positions, providing long-term access for digital materials, and acquiring materials that are licensed rather than purchased. In addition, the availability of a vast amount of information from a broad range of Web sources further complicates the information access and user education functions of libraries. One result is that college libraries have many new questions to consider about the best means of providing information needed by the campus community. The administrative infrastructure of libraries at the small- and medium-sized colleges also absorbs a larger share of institutional budgets than do libraries at the larger, research universities. Moreover, trends in technological innovation are difficult to predict, and big investments in particular technologies almost always include false starts and wasteful spending—risks that are far greater for the smaller institutions.

What all this means is that traditional funding levels are no longer sufficient to manage both the exponential growth in "information" and the broadening demands placed on all academic libraries in the information age. Therefore, time is being and will continue to be spent by presidents on fundraising for their libraries. Presidents will need to be continuously motivated to aggressively seek philanthropic support of all kinds. At the risk of unintentionally suggesting that library fundraising will be easy for presidents, I would like the reader to consider that libraries present a distinctive, perhaps even unique, opportunity for presidents to discuss with prospective donors their vision for, and the strategic goals of the institution—and in a way that is both familiar and exciting.

Most individuals and organizations a president is likely to approach for a major gift could certainly understand a college or university's need for enhanced technology. Given our knowledge-driven society, they could acknowledge the critical role colleges and universities play both in the management of information and in securing access to information. They could understand the dependency of a college or university's strategic plan on obtaining comprehensive and accurate data. And they would probably agree that a college or university is, after all, in symbol and in fact, a community's hub of intellectual exchange and a place where human capital is developed and nurtured. It is the presidents job then to tie all of these obvious facts together for the prospective donor, to make the connections for them in a compelling way, and to explain how it is the institution's **library** that plays a central role in making all of it happen.

Presidential "Opportunities" in Library Fundraising

Presidents need to recognize that what is so attractive about raising money for academic libraries is that they have extraordinary **symbolic** appeal—they not only symbolize free and open discussion and debate, but also suggest free and open access—to information and ideas. They are also places of quiet refuge for many. Raising money for libraries gives a president the opportunity to be a very visible advocate of these values. A president can make a convincing case to prospective donors that free and open discourse is central to a college and university's mission—and without good libraries, public, healthy discourse will inevitably break down.

A college or university's library can also do much to bring the institution and the nonacademic community closer together. The academic library is no longer viewed as a resource for academics alone, but rather, as an actual and potential resource for a variety of campus constituencies, with the local business community and alumni perhaps being among the more prominent. In addition, learning is now viewed as a life-long activity, where one's education does not and cannot stop at commencement. Academic libraries that are challenged with growing demands to make their services and resources available to the larger, external community present an opportunity for presidents to make the case for support on the grounds that a donor's gift is not merely a contribution to the effectiveness of the college or university as a place of learning and conveyor of knowledge, but rather is an investment in the well-being of the wider public. Presidents can also turn the necessity of raising money for their libraries into an opportunity to make donors feel like genuine "partners" with the institution, since libraries can help a college or university demonstrate to donors the real impact or practical value of their gifts.

Presidential Leadership and Raising Money for Libraries

A college president must love—no, not merely "like," but love—meeting new people and building relationships. A president must view fundraising in general not as something to be left to others in their cabinet, nor as something to be endured, but rather, as an adventure waiting to be embarked upon. If not, he or she will probably be bored silly at best and greatly frustrated at worst. A president must have not just the ability, but also the eagerness and feel a good deal of excitement about articulating his or her institution's needs, desires, aspirations, and how his or her own vision will fulfill all of this. Presidents must be able to tell a compelling story about their institution and why, above all others, they deserve support. Raising money for libraries is an opportunity for presidents to build alliances and networks and, in this context, to be seen as leaders with vision as opposed to managers consumed by only bottom-line concerns.

Is all of this a bit dramatic? I don't think so. (Of course, other, less lofty-sounding facts must be present, such as having good relations with the development office and knowing how to attractively market a number of naming opportunities in the library—e.g., reception areas, classrooms, labs, wings, auditoriums, research and reference areas, endowed librarian positions, and even, perhaps, a cyber café.) In fact, if the readers look back at a number of the comments and observations made by the presidents with whom I talked, they will see that their remarks reflect this kind of disposition—and not just about fundraising, in general, but about fundraising for libraries, as well. Remember, all of the presidents knew that they would be given anonymity in their responses and could, therefore, easily have said fundraising for libraries was boring, tiring, something they dreaded doing, and so on. To the contrary, all viewed it as an opportunity to develop and promote a vision that unifies diverse constituencies and stakeholders, and all thought that raising money for libraries, in particular, was an opportunity to tell a story—either their institution's, their own, or in most cases, both.

It is both the presidents' responses and the realities of the transformation of academic libraries that make library fundraising appeal to the necessity for college and university presidents to lead, not manage. Raising money for their library presents to presidents the challenge of bringing diverse internal and external constituencies and stakeholders together for a common purpose. The library is the preserve of no one in particular. While the library may still be the most quiet place on campus, it is also, at the same time, one of the most active, engaging, exciting, and vibrant places on campus. And if these facts are not enough to motivate presidents to raise money for their libraries and excite them about doing so, then I'm not sure what **would** motivate them.

Chapter 12

Academic Library Fundraising Literature from 1990 to the Present: An Annotated Bibliography

Brenda Hazard

I compiled this bibliography with the assumption that the reader is convinced of the need to participate in fundraising and seeks more information on how to proceed, to refine, or to expand fundraising practice. The purpose of this bibliography is to identify the recent literature that will inform practitioners, rather than to add to existing historical reviews of academic library fundraising (Alexander 1998, Atlas 1994, Hayes 1990, Hood 1998, Paustenbaugh 1999). I have attempted to highlight the evolution of a decade's fundraising literature—from early compelling studies of pioneering practice to recent scientific evaluations of fundraising effectiveness.

Nearly 100 annotations lead to sources for further study. In the annotations, I have noted whether a source focuses on fundraising principles or provides details on specific fundraising practices. Following the annotated bibliography is a selected list of titles from the fundraising, marketing, and philanthropy genres; each title was recommended in a significant book on academic library fundraising literature. These sources, primarily monographs, provide more extensive coverage of topics, such as capital campaigns, public relations, and philanthropic trends. The final section of this chapter provides a brief annotated list of websites that identifies resources for continuing education and professional development. Included are sites describing ALADN (Academic Library Advancement and Development Network), the Association of Research Libraries (ARL) Management Skills Institute for Development Officers, and sources for foundation and grant information. I considered grantsmanship and fee-based services to be outside the scope of this review, as were announcements of specific institutional fundraising accomplishments or milestones. I also did not include articles about the significant work underway in public library fundraising.

Introduction

Three significant publications signaled the beginning of a new era in academic library fundraising literature in the early 1990s. *Library Development: A Future Imperative*, a widely read special issue of the *Journal of Library Administration* edited by Dwight F. Burlingame and published in 1990, reviewed a broad range of active library fundraising programs, including capital campaigns, endowments, planned giving, and identification of major donors—endeavors that were once the realm of only elite libraries. Its discussion of fundraising in plain terms made the process seem accessible to all. Shortly thereafter in 1992, Victoria Steele and Stephen Elder published their instant classic, *Becoming a Fundraiser: The Principles and Practice of Library Development*. Steele and Elder emphasized the critical role of the library director as leader of the development team and added a human dimension to the language that Burlingame revealed. That same year, the ARL devoted its 120th meeting to fundraising. The published proceedings, *Leadership Role in Library Fund Raising*, documented the inclusion of fundraising responsibilities in the expected profile of the academic library director.

Concurrently, the constrained economic climate of the early 1990s resulted in reduced funding for academic libraries, just at the time that technology costs escalated. In response, many libraries set ambitious fundraising goals. Unprecedented economic growth in the mid- and late 1990s fueled these activities and made these ambitious goals realizable. As this bibliography documents, libraries' fundraising experiences in the 1990s ranged from modest beginnings to unprecedented accomplishments.

Summary of the Literature

The principle that the library director must serve as leader in any successful fundraising endeavor is generally attributed to Steele and Elder (1992) and now accepted as self-evident. The director's critical role is acknowledged throughout the literature. General descriptions of the impact of development activities on the daily routine of the director are instructive; this growing body of literature includes personal accounts of delegation, decisionmaking, and time management (Association of Research Libraries 1992, Lin 2000, Johnson 1998, S. Martin 1998 and 2000).

The ideal composition of the development team with which the director surrounds himself or herself is less clear. Several studies review the options for defining a library development officer position, its title, salary, commitment, and responsibilities (Hoffman et al 2000, Gearhart and St. Clair 1994, Smykla 1999). There are various institutional fundraising models that determine the development team's autonomy—centralized and decentralized institutional models represent the two ends of the scale (Gearhart and St. Clair 1994). Some studies suggest that the relationship between the director, his or her team, and the institution's development office is critical to the success of fundraising activities (Hoffman et al 2000, Kemmis 1998, Paustenbaugh 1999), while others dispute this notion (Alexander 1998).

Involving other librarians, especially from collection development and special collections, can expand opportunities to identify donor prospects and fundraising goals (Blackstead 1998, Carnes and Myers 1998, Farrell 1994, St. Clair 1998, Steele 1994 and 1995). Different models exist for the integration of Friends of Library or similar groups into the development team (Barksdale and Hay 1997, Dolnick 1996, Goldberg 1990, Taylor 2000). At some institutions, Friends play significant supporting roles in a range of fundraising programs (Gamewell and Dowell 1999, Hahn 1992, Hoadley 1994). Another fundraising option is to establish a separate board or development committee whose members may include several major donors (Gilbert 1999); this model is commonly found in public libraries (Lapsley 1997b).

Fundraising must be established on a firm history of good customer service and positive public image (Black 1998, Fontaine 1990, M. Martin and Kobulnicky 1996, Smykla 1999). The need for preparation in advance of a specific fundraising endeavor is a prevalent theme in the literature. There is less agreement as to what to call this stage and what it encompasses: case preparation, public relations, strategic planning, mission statement, or needs identification (these topics are represented independently in the literature; here works are cited if the topic is described in the context of fundraising and development). This critical planning phase is frequently given special attention within the complete fundraising cycle (Burlingame 1990, Gornish 1998, Hunt and Lee 1992, Lee and Hunt 1992). Some libraries opt to involve a consultant to guide them in case preparation or in the preparation of a feasibility study (Goldberg 1991, Krull 1991, Vest 1992). Other libraries use self-guided exercises (Hannah 1997, Lapsley 1996a).

Case preparation and the use of development teams are closely tied to prospect and donor cultivation. Identification and institutional sharing of donors have received significant attention amid concerns that the library lacks an alumni base. Identification of a constituency requires creativity (Gearhart and St. Clair 1994, Kemmis 1998, Wedgeworth 2000) and sometimes negotiation with a central development office (Hood 1993, S. Martin 2000, Paustenbaugh 2000). A new method of building a constituency is through outreach on the library's website (Corson-Finnerty 2000, Corson-Finnerty and Blanchard 1998).

For many fundraising newcomers, donor solicitation or "making the ask" may be the most intimidating aspect. One's personal style or the specific donor generally dictates the approach (Carrigan 1994, Goldberg 1997, Hunt and Lee 1992, Gornish 1998, Steele and Elder 1992). For major gifts, donor research is always required and solicitation should not commence before this careful analysis is complete (Lapsley 1996b, Strand 1990).

Annual giving programs are those that solicit relatively modest donations and that generally have the largest donor base. There is wide variation in the interpretation and execution of annual giving programs. For many institutions, annual giving programs attract first-time donors (Paustenbaugh and Trojahn 2000). Some institutions depend on annual giving to build endowments (Park 1995, Russell and Hough 1990). Frequently, annual giving and Friends groups are closely intertwined (Clark 1990, Corson-Finnerty 2000, Dolnick 1996, Hoadley 1994). The Web is an emerging source for annual giving solicitation (Corson-Finnerty and Blanchard 1998, King 2000).

Planned giving and endowments receive little attention in the academic library literature beyond achievements described in news items. Reviews of planned giving (Hodge and Richardson 1990, Dewey 1991) and endowments (Bailey 1992, Getz 1990) provide brief introductions, but few specific cases are cited (Park 1995, Willis 1992). Online techniques for describing endowment opportunities and acknowledging donors are an emerging topic in the literature (Corson-Finnerty 2000, Corson-Finnerty and Blanchard 1998, Goldberg 1999).

Capital campaigns often focus on fundraising for new buildings or extensive renovation. Capital campaigns are generally discussed in the context of major donors, appearing in the guise of private individuals (Wilkinson 1998, Willis 1992), foundations (Camerena 2000, Kyker 1998, M. Martin 1995, Waters 1999), challenge grants (Flower 1995), or public grants (M. Martin and Kobulnicky 1996, Horney and Seale 1999). Capital campaigns may focus solely on the library or may be a joint or consortial endeavor (Hood 1993, Rader 2000). The effectiveness of campaigns is emerging as the subject of serious inquiry (Heyns 1994, Latour 1995, Paustenbaugh 1999).

Alexander, Johanna Olson. "Fundraising for the Evolving Academic Library: The Strategic Small Shop Advantage." *Journal of Academic Librarianship* 24, no. 2 (1998): 131–38.

Strategic advantages to effective fundraising in newer and smaller academic libraries are compared with well-developed library fundraising programs at larger, more established institutions. The potential advantages of institutions without entrenched development histories are enumerated and numerous examples from such libraries are cited. References [50+].

Alley, Brian. "Gifts, Grants, and Strings." *Technicalities* 13 (June 1993): 1.

The author cautions against accepting grants that involve additional financial commitment and do not contribute to the library's mission.

Association of Research Libraries. *Leadership Role in Library Fund Raising.* Minutes of the 120th Meeting, May 13–15, 1992, Charleston, South Carolina. Washington, D.C.: Association of Research Libraries, 1993.

This document includes the proceedings of ARL's pivotal national leadership meeting that first addressed the issue of development and fundraising in a comprehensive and sophisticated manner for an audience of library directors. It includes transcripts of sessions on the leadership role of library fundraising within an institutional context, the role and expectations of the library director, and the design and implementation of the development process.

Atlas, Michael C. "Development in Academic Libraries: A Review of the Literature." *Journal of Academic Librarianship* 20, no. 2 (1994): 63–70.

The author provides a comprehensive review of the periodical and monographic literature (through 1992 and 1993 respectively) on development in academic libraries. Atlas cites specific cases where available and describes the entire development process from identifying development teams to spending development funds. References [more than 100].

Bailey, Alvin R. "Fund-raising and Endowments." *Texas Library Journal* 68 (Winter 1992): 129–32.

This brief article provides a concise overview of endowments and how they can be used. References [6].

Balas, Janet L. "Fundraising Beyond Book Sales and Bake Sales." *Computers in Libraries* 20 (May 2000): 53–55.

The contents list ALA-related fundraising professional development affiliates and links to relevant websites and provide several brief anecdotes of entrepreneurial libraries and their projects. References [8].

Barksdale, Ken and Charles C. Hay III. "'Friendly Development': Organizing and Using a Friends Group in Academic Library Development." *Kentucky Libraries* 61 (Spring 1997): 16–23.

The formation of the Friends group at Eastern Kentucky University Libraries with the goal of continuing positive relationships developed after a successful capital campaign in 1995 is described. The findings of a survey of Kentucky academic libraries describing the existence and structure of Friends groups are included. References [19].

Beaubien, Anne and Mary Jo Lynch. "Alternative Sources of Revenue in Academic Libraries." *College and Research Library News* 52 (October 1991): 573–76.

This article is based on the executive summary of Lynch (1991). Based on a survey of 800 academic libraries, the extent to which the library obtains revenue from alternative sources is summarized. Most libraries reported an increase in operating budget ranging from 1–10% from alternative sources, some of which included fundraising.

Black, William K. "Customer Service and Library Development." *Florida Libraries* 41, no. 3 (1998): 57–59.

The author stresses that excellent customer service is the foundation of library development and fundraising, since it establishes relationships that can be tapped later. References [17].

Blackstead, Katharina J. "Partners in Advancement: Expanded Roles for Collection Development and Other Librarians." *Florida Libraries* 41, no. 3 (1998): 54–56.

The author suggests how collection development and other librarians can contribute to the development effort. References [8].

Burlingame, Dwight F. "Library Capital Campaigns." *Library Development: A Future Imperative*. Dwight F. Burlingame, ed. Special issue of *Journal of Library Administration* 12, no. 4 (1990): 89–102.

Burlingame reviews the planning, readiness assessment, staffing, and case statement required for a successful capital campaign. This is a brief outline of fundraising preplanning.

Burlingame, Dwight F., ed. *Library Development: A Future Imperative*. Special issue of *Journal of Library Administration* 12, no. 4 (1990).

This issue contains nine articles, each of which describes a particular fundraising method, such as annual funds, planned giving, and others. While much of the information is now dated, this was the first comprehensive review of fundraising programs to appear in library periodical literature. Relevant articles are annotated separately in this bibliography.

Burlingame, Dwight F. "Public Libraries and Fundraising: Not-so-strange Bedfellows." *Library Journal* 115 (July 1990): 52–54.

The author reviews public funding history and the fundraising practices of public libraries and posits the major role of development in the future of all libraries.

Burlingame, Dwight F. "Fund-raising as a Key to the Library's Future." *Library Trends* 42, no. 3 (1994): 467–77.

A historical review of funding and fundraising in public libraries is provided. Fundraising should complement existing funded services rather than compensate for inadequate funding. Burlingame reviews the scope of resources and activities related to library development. He suggests that involvement in development may help library directors become more effective leaders as they respond to the need to articulate their library's mission and purpose. References [40].

Burlingame, Dwight F., ed. *Library Fundraising: Models for Success*. Chicago: American Library Association, 1995.

Seven authors offer brief cases that describe specific fundraising efforts, successes and lessons learned. Topics covered include annual giving, capital campaigns, challenge grants, foundations, and endowments and examples are from both academic and public libraries. (Academic library case studies are annotated in detail elsewhere in this bibliography.) References [14].

Camerena, Janet. "A Wealth of Information on Foundations and the Grant Seeking Process." *Computers in Libraries* 20 (May 2000): 27–31.

The author lists web and print resources that describe foundations currently funding library projects. The top ten foundation grants given for libraries and the top ten foundations that funded libraries in 1998 are listed. References [11].

Carnes, Lana W. and Marcia J. Myers. "Fundraising Teams: An Alternative Model for Library Development Programs." *Florida Libraries* 41, no. 3 (1998): 59–61.

Library staff, constituents, and others can become involved in library development through organizational planning or indirectly by provision of service and establishing donor relationships. Experience at Eastern Kentucky University is described as are specific fundraising coups at other institutions.

Carrigan, Dennis P. "Public Library Private Fund-raising: A Report Based on a Survey." *Public Libraries* 33 (January/February 1994): 31–36.

Survey responses from library directors at public libraries nationwide provide responses to questions on how funds are spent and prospects identified, also, opening lines with potential donors. This is a valuable addition to the literature since it provides verbatim "asks." It demonstrates the role that individual personality plays in directors' approaches to fundraising. References [5].

Claassen, Lynda Corey, ed. *Library Development and Fundraising*. SPEC Kit 193. Washington, D.C.: Association of Research Libraries, 1993.

Survey results from ARL libraries indicate the extent of development and fundraising activities. The responses describe organization, budget and staffing, and fundraising programs. It includes representative documents.

Clark, Charlene K. 1990. "Getting Started with Annual Funds in Academic Libraries." *Library Development: A Future Imperative*. Dwight F. Burlingame, ed. Special issue of *Journal of Library Administration* 12, no. 4 (1990): 73–88.

This article is more about Friends groups than about annual funds. In Clark's model, donors to annual funds automatically become members of Friends groups.

Corson-Finnerty, Adam. "Cybergifts." *Library Trends* 48, no. 3 (Winter 2000): 619–33.

Development websites are a method to enhance traditional approaches to fundraising. New business strategies include permission marketing, which establishes communication between website provider and user to push and pull relevant information to and from the user with their approval. Active communication techniques such as email enhance fundraising success. References [9].

Corson-Finnerty, Adam and Laura Blanchard. *Fundraising and Friend-Raising on the Web*. Chicago: American Library Association, 1998.

The authors present the University of Pennsylvania Library's experience using the web for development activities since 1995. Web-based fundraising does not replace traditional fundraising but enhances it. Sites dedicated to recognition of major donors and "electronic plaquing" for named gifts are several methods of using web-based development. Screen samples and URLs of exemplary sites illustrate design, content, and a variety of forms. It includes chapters on getting started with HTML, page design, and creating a web-enabled CD-ROM (with sample enclosed). References (exclusively URLs).

Dewey, Barbara I., ed. *Raising Money for Academic and Research Libraries.* How-To-Do-It Manuals for Libraries. 18. New York: Neal-Schuman, 1991.

Chapter overviews include planning, friends, donor cultivating, grants, development team, and other aspects of fundraising, especially at larger academic libraries. An experienced library development officer writes each chapter.

Dolnick, Sandy, ed. *Friends of Libraries Sourcebook.* 3rd edition. Chicago: American Library Association, 1996.

This source, in its third edition, reviews all aspects of Friends of Libraries from the national organization to specific site activities. It includes chapters on basic and advanced fundraising (by Dolnick and Pearson respectively) and a chapter on Friends in academic libraries by J. M. Hood. Facsimiles of promotional materials and sample constitutions and bylaws are included.

Doran, Beatrice M. "Fund Raising for Libraries: A Case Study." *Health Libraries Review* 7 (1990): 1–7.

This paper describes Friends events at the Royal College of Surgeons in Ireland that were developed as part of a capital campaign. In an introductory overview of the development process, the author stresses the need to establish an unfailingly positive approach and to centrally coordinate activities. References [22].

Farrell, David. "Fundraising for Collection Development Librarians." *Collection Management and Development: Issues in an Electronic Era.* Peggy Johnson and Bonnie MacEwan, eds. Chicago: American Library Association, 1994. 133–42.

Heavily influenced by Steele's writings, the author admonishes collection development librarians to participate in fundraising activities, especially in the cultivation of donor prospects who have special interest in specific collections. References [35].

Flower, Kenneth E. "The Challenge of the Challenge Grant—Johns Hopkins Library Endowment." *Library Fundraising: Models for Success.* Dwight F. Burlingame, ed. Chicago: American Library Association, 1995. 50–60.

A $1 million National Endowment for the Humanities challenge grant required JHU to raise an additional $4 million to support the improvement of humanities collections in the newly centralized library. The critical role and participation of highest institutional administrators in supporting the cause is emphasized. Major milestones over the five-year campaign included unexpected turnover within the development team and major gifts of over $500,000 that led to additional endowments.

Fontaine, Sue. "The Role of Public Relations in Fund Raising." *Library Development: A Future Imperative.* Dwight F. Burlingame, ed. Special issue of *Journal of Library Administration* 12, no. 4 (1990): 15–38.

The importance of building development activities on a well-established foundation of positive public relations is underscored.

Gamewell, Mary and David R. Dowell. "Spinning Straw into Gold: A Look at Cuesta College's Friends of the Library." *College and Research Libraries News* 60, no. 8 (1999): 649–51.

Ten specific activities and goal setting have resulted in Cuesta (CA) College's Friends raising over $600,000 since it formed in 1980.

Gearhart, G. David and Gloriana St. Clair. "Library Development Structures in CIC Institutions: The Search for Constituents." *College & Research Libraries* 55 (January 1994): 57–67.

The development organization at each of twelve members of the Council for Interinstitutional Cooperation (CIC)—including structure, staffing, and titles—is described. Recent fundraising achievements at each institution, the total funds garnered, and the methodology used are included. It describes various means to identify and cultivate prospects or "constituents". It reviews the differences between the 12 university libraries (Illinois, Michigan, Wisconsin, Minnesota, Indiana, Chicago, Penn State, Ohio State, Northwestern, Michigan State, Iowa, and Purdue). References [8].

Getz, Malcolm. "Endowments." *The Bottom Line* 4, no. 2 (1990): 37–41.

Getz reviews the definition of, valuation, and management of endowments. This is a helpful review, which explains the complexities in the context of the implications for academic libraries.

Gilbert, Gail. "New Approaches to Funding and Community Support: Forming Partnerships to Serve All." *College and Research Library News* 60, no. 5 (1999): 358–64.

The identification of new members of the Library Information Advisory Council at the University of Louisville required collaboration between the university librarian, the library development officer, and the centralized development office. The Council's charge included development, as well as community partnerships for information literacy initiatives.

Goldberg, Beverly. "Art of Schmoozing." *American Libraries* 28 (March 1997): 24.

Useful for those preparing to "make the ask," this piece provides brief tips from Pamela Bonnell, director at Waco-McLennan Country (Tex.) Library System, illustrating how she asks for donations.

Goldberg, Beverly. "Will Virtual Pitches Yield Real Dollars for Cornell?" *American Libraries* 30, no. 6 (1999): 49.

Goldberg describes how Cornell University Libraries uses virtual tours of existing collections as part of their capital campaign seeking preservation funds.

Goldberg, Susan. "Starting a Development Office: One Academic Library's Experience." *The Bottom Line* 4, no. 2 (1990): 31–33.

The University of Arizona Library describes its experience establishing a development office. Integration with the Friends or other existing public relations groups is critical to success. Defining needs in the context of a case statement makes the development officer's objectives clearer.

Goldberg, Susan. "The Fundraising Assessment: The Basis for a Campaign." *The Bottom Line* 5, no. 4 (1991): 45–46.

A professional fundraising consultant reflects on the necessary preparation for a capital campaign and suggests that libraries consider a consultant in the planning stages of major campaigns.

Gornish, Stanley E. "How to Apply Fund-raising Principles in a Competitive Environment." *Library Administration & Management* 12, no. 2 (1998): 94–103.

The Director of the Queens (NY) Library Foundation reflects on the entire fundraising process from self-reflection to donor solicitation and provides anecdotes from his experience. He emphasizes preparation, planning, action, and follow-up. References [2].

Hahn, Bessie K. "Creating a Successful Annual Giving Program: The Brandeis University National Women's Committee." *Fundraising for the 1990s: The Challenge ahead: A Practical Guide for Library Fundraising from Novice to Expert.* Hwa-Wei Lee and Gary A. Hunt. Canfield, OH: Genaway & Associates, 1992: 79–89.

The history, goals, and activities of the Women's Committee of Brandeis University are described and related to the group's role as a key partner in library development.

Hannah, Kathryn Covier. "Alternative Funding for Libraries: A Plan for Success." *The Bottom Line* 10, no. 4 (1997): 169–75.

This self-help article provides exercises to develop a fundraising action plan along with sample worksheets. References [8].

Harris, April L. "Special Events and Their Role in Fund Raising." *Library Development: A Future Imperative.* Dwight F. Burlingame, ed. Special issue of *Journal of Library Administration* 12, no. 4 (1990): 39–52.

Friend-raising and fundraising activities rooted in the library and institutional mission allow the library and its constituents to get acquainted. Harris includes suggestions for planning, promoting, and evaluating special events.

Hayes, Sherman. "Fund Raising: A Brief Bibliography." *Library Development: A Future Imperative.* Dwight F. Burlingame, ed. Special issue of *Journal of Library Administration* 12, no. 4 (1990): 135–52.

Harris provides an extensive bibliography of fundraising literature mostly from the 1980s. It is organized by fundraising methods such as annual giving and capital campaigns. Most references are outside the library literature, although important early works such as Sul H. Lee's *Library Fund-Raising: Vital Margin for Excellence* (1984) are cited.

Heyns, Erla Petronette. *Fund Raising in Publicly Supported Academic Libraries of Institutions Belonging to the National Association of State Universities and Land-grant Colleges.* Ph.D. dissertation. Indiana University, 1994.

Heyns examines several models of fundraising in the context of the effectiveness of the campaign as determined by the amount of money raised by the library in proportion to the total raised by the institution. The development team, use of case statement, and other variables were examined as potential factors in effectiveness.

Hoadley, Irene Braden. "Future Perfect: The Library and Its Friends." *Library Administration & Management* 8, no. 3 (1994): 161–65.

Hoadley describes he activities of Friends of Libraries group at Texas A&M, their programs, and their key role in development efforts.

Hodge, James M. and Richardson, David B. "The Role of Planned Giving." *Library Development: A Future Imperative.* Dwight F. Burlingame, ed. Special issue of *Journal of Library Administration* 12, no. 4 (1990): 121–34.

A variety of planned giving options—trusts, plans, and estate-related plans—are briefly described. This article will allow the reader to have some familiarity with the terms but won't make one an estate planner: call in an expert.

Hoffman, Irene M. "Fundraising: A Selected List of Internet Resources." *College & Research Library News* 56, no. 10 (1995): 692–93.

An annotated list of sites is provided. This list is now maintained online by P. Kyker at <http://www.ala.org/lama/committees/frfds/grants.html>.

Hoffman, Irene M. "ALADN 1996: Savoring Stone Soup." *College and Research Library News* 5 (May 1996): 301–02.

Hoffman documents the 1996 first annual conference of the newly formed ALADN, Academic Library Advancement and Development Network. It includes presenters and their affiliation and summaries of presentations.

Hoffman, Irene M. and Amy Sherman Smith. "Library Fundraising Tips and Resources." *College and Research Library News* 5 (May 1995): 328–29.

This brief report on the ARL Office of Management Services, Development Officers for Research Libraries (OMS/DORAL) Institute, provides some details on a potentially important professional development resource for the library director and her development team.

Hoffman, Irene M., Amy Smith and Leslie DiBona. "Factors for Success: Academic Library Development Survey Results." *Library Trends* 48 (Winter 2000): 540–59.

The results of a 1996 survey of over 150 academic libraries are used to establish a benchmark for current fundraising practice and to identify characteristics of successful fundraising programs. Keys to success include a mature program and an effective team that includes both the library director and a full-time development officer. References [6].

Hood, Joan M. "Fundraising for Libraries: Four Important Elements." *Library Issues: Briefings for Faculty and Administrators* 13, no. 6 (1993): 1–2.

Hood describes four elements—positioning, access, partnerships, and patience—and how she used them at the University of Illinois at Urbana-Champaign to raise over $33 million between 1990-93. Specific examples, including hosting donor lunches, involving administrators in library special events, and a successful joint fundraising venture with the College of Engineering are detailed.

Hood, Joan M. "Library Fund-raising Update." *IFLA Journal* 22, no. 1 (1996): 46–47.

This is a rare look at international library development. Fledgling development activities in Russia are based on community partnerships: at Ryazin Regional Library through a special event featuring a local business and at Mayakovsky Library in St. Petersburg through a fee-based business information center.

Hood, Joan M. "Past, Present, and Future of Library Development (Fund-raising)." *Advances in Librarianship* 22 (1998): 123–39.

The history of contemporary development organizations, such as FOLUSA and DORAL, and the origins of various library foundations in the 1990s are documented. Hood cites case studies that appear in fundraising literature in 1980s through early 1990s. The seminal 1992 ARL annual meeting on fundraising and fledgling international library development activities are described. Hood also reviews the history of the University of Illinois library development activity ranging over 25 years from endowments for international librarianship to planned giving programs. References [22].

Horney, Karen L. and Paul Seale. "Student Advocates: The Key to Successful Funding for a New Building." *College & Research Library News* 60, no.11 (1999): 899–902.

Students at Southwest Missouri State University lobbied the state legislature to advocate for public funding for a library expansion project as part of a capital campaign.

House, Robert G. "A Critical Perspective on Fund Raising Communication: Genre in Search of Rhetoric." *Library Management* 18, no. 5 (1997): 229–34.

The author proposes that fundraising is a rhetorical exercise that demands persuasion of a select audience. To achieve greater success, he suggests careful analysis of case statements in a rhetorical context. References [7].

Hunt, Gary A. and Hwa-Wei Lee. "The Ten Principles for Successful Fundraising." *The Bottom Line* 6, no. 3/4 (1992): 27–33.

Ten principles for successful fundraising are outlined, including conducting self- and feasibility studies, recruiting a development team, identifying donors, "making the ask," and practicing good stewardship for gifts received. References [5].

Johnson, Eric W. "Fund-raising and the Library Director: An Interview with Susan Kent." *Library Administration & Management* 12, no. 3 (1998): 129–31.

In a Q&A format, Kent describes her development activity as director of Los Angeles Public Library. She reflects on the necessary time commitment and organization as director.

Kemmis, Barbara. "Changing Trends in Library Fund Raising." *Library Administration & Management* 12, no. 4 (1998): 195–99.

Kemmis examines new trends in philanthropy and development, including broadening the range of fundraising methods, articulating the uniqueness of collections and services, exploring corporate sponsorships, and using web-based solicitation. References [20].

King, David. "Soliciting Virtual Money." *Library Journal* Fall 2000 Net Connect Supplement: 39.

The author illustrates six types of web-based fundraising options: friends, online pledges, web events, donor recognition, third-party donation services, and online stores. He suggests methods of increasing visitors to the library web page as donor cultivation. References [10].

Krull, Jeffrey R. "Private Dollar$ for Public Libraries." *Library Journal* (January 1991): 65–68.

Although this article is aimed at public libraries, others may benefit from Krull's brief review of establishing a separate development foundation. An anecdotal sidebar provides an account of one library's regrets for not having done so. It includes a graphic, which nicely illustrates the 80-20 rule: 80 percent of the gifts will come from 20 percent of the donors and the remaining 20 percent come from 80 percent of the donors.

Kurzeja, Karen and Brett Charbeneau. "Need funding? Let the Net Work for You!" *Computers in Libraries* 20 (May 2000): 38–41.

This article tells an interesting tale for those intrigued by the potential of emerging web-based fundraising activities. The authors provide details on their approach to building web pages in exchange for library donations from local businesses. A tiered system based on the donation amount determined the size and complexity of the web page.

Kyker, Penny. "Selected World Wide Web Sites for Library Grants and Fundraising." *Library Administration & Management* 12, no. 2 (1998): 64–71.

Now maintained and updated on the web at <http://www.ala.org/lama/committees/frfds/grants.html>, this article lists websites for finding current information about grants and fundraising for all types of libraries. References [2].

Lapsley, Andrea. "A Case for Support." *The Bottom Line* 9, no. 1 (1996): 44–46.

Simple instructions to develop and employ an effective case statement are provided.

Lapsley, Andrea. "Major Donors, Major Gifts." *The Bottom Line* 9, no. 2 (1996): 40–43.

This article is most helpful for those without a centralized development office that identifies the library's constituency and profiles potential donors. It provides tips for major gift donor identification and solicitation. It distinguishes between those capable of donating annual and major gifts. References [3].

Lapsley, Andrea. "Eight Steps Toward Building a Dynamic Board." *The Bottom Line* 10, no. 1 (1997): 30–32.

Tips for building a board of directors who are effective fundraisers are listed. References [1].

Lapsley, Andrea. "Practical Advice from the National Society of Fundraising Executives' Conference." *The Bottom Line* 10, no. 3 (1997): 136–38.

The author stresses the value of joining NSFRE or a similar organization to stay informed of current issues and to participate in professional development. A summary of practical tips from a recent conference is used to illustrate the argument.

Lapsley, Andrea. "Thoughts for Development Professionals." *The Bottom Line* 11, no. 2 (1998): 75–76.

Lapsley lists 39 tips for library development professionals. They run the gamut from involving spouses in major gift solicitations to having plenty of business cards.

Latour, Terry Stephen. *Study of Library Fund Raising Activities at Colleges and Universities in the United States*. Ph.D. dissertation. Florida State University, 1995.

In a 300-page dissertation, the author reviews fundraising activities in academic libraries across all Carnegie strata. The author examines which types of fundraising activities are most successful, how fundraising income is used by academic libraries, the development team, Friends' involvement, and why some libraries choose not to engage in fundraising.

Lee, Hwa-Wei and Gary A. Hunt. *Fundraising for the 1990s: The Challenge Ahead: A Practical Guide for Library Fundraising from Novice to Expert*. Canfield, OH: Genaway & Associates, 1992.

The authors review the planning process, sources of potential support in public and private sectors, and donor stewardship. The appendix includes the job description for the development officer, Friends bylaws, and facsimiles of other documents used at Ohio University. It includes two case studies (annotated elsewhere in this bibliography).

Lin, Chih-feng P. *Changes in Stated Job Requirements of Director Positions of Academic Libraries in the United States: A Content Analysis of Qualifications and Job Expectations as Advertised in Selected Professional Periodicals*. Ph.D. dissertation. Simmons College, 2000.

This dissertation examines the changing role of the academic library director. Especially notable is the inclusion of fundraising in the director profile over the period from 1992 to 1997.

Lynch, Mary Jo. *Alternative Sources of Revenue in Academic Libraries*. [Chicago]: American Library Association, 1991.

Eighty tables illustrate the results from a survey of over 800 academic libraries reporting on five possible alternative sources of revenue, including special events, gifts and grants, and endowments, among others. Most institutions received between 1–10 percent of operating expenditures from these sources, with doctorate-granting institutions most likely to receive income from all five. References [46].

Martin, Murray S. "Tufts University—Wessell Library Renovations." *Library Fundraising: Models for Success*. Dwight F. Burlingame, ed. Chicago: American Library Association, 1995. 13–24.

A Kresge Foundation matching grant of $300,000 was obtained after the institution raised over $665,000 to modernize the library. Staff costs in a

multiple-donor, matching-grant case required significant accounting reconciliation. Martin offers eight lessons learned, ranging from keeping the project simple to being flexible, and keeping good records.

Martin, Murray S. and Paul Kobulnicky. "The Role of the Library in Institutional Development." *The Bottom Line* 9, no. 1 (1996): 40–42.

The 1994–95 capital campaign at the University of Connecticut focused on Babbidge Library renovation and repair. The authors stress the need to plan for development efforts far in advance of critical capital campaigns.

Martin, Susan K. "The Changing Role of the Library Director: Fund-raising and the Academic Library." *Journal of Academic Librarianship* 24, no. 1 (1998): 3–10.

Martin examines the impact of fundraising on the role and responsibilities of the library director. She describes the director's potential role in various development activities, such as Friends, major donors, and capital campaigns. She also reviews the impact of the director's involvement on the development team size, focus, and priorities. She suggests effective methods of delegating or reorganizing to accommodate the demands of development activities on the director's time and focus. References [8].

Martin, Susan K. "Academic Library Fund-raising: Organization, Process, and Politics." *Library Trends* 48 (Winter 2000): 560–78.

Martin reviews major gifts programs and critically examines the definition of "major gifts" in relation to library budgeting and expenditures. She includes an interesting (and rare) section on managing travel for donor prospect cultivation with the library director's other responsibilities. The politics of defining the library's donor constituency is considered. References [5].

Mendina, Tom. "FOLUSA and Fundraising." *Mississippi Libraries* 63, no. 2 (1999): 33–34.

FOLUSA (Friends of Libraries USA) is involved in new realm of fundraising in academic libraries as demonstrated by the summary of recent related activities.

Park, L.M. "Endowed Book Funds: A Million Dollars, Step-by-step, for a Small College Library." *Library Fundraising: Models for Success*. Dwight F. Burlingame, ed. Chicago: American Library Association, 1995. 1–12.

Davidson College's endowed book fund totals over $1.2 million and has a 30-year history. The college's library-centered fundraising initiative is simple and does not "compete" with other institutional development efforts. Facsimiles of bookplates, newsletter acknowledgements, and other materials are included.

Paustenbaugh, Jennifer and Lynn Trojahn. "Annual Fund Programs for Academic Libraries." *Library Trends* 48 (Winter 2000): 579–96.

This article examines successful library annual fund programs and suggests solutions to common barriers (lack of development resources, defining the library's constituency). It includes specific anecdotes from a variety of academic libraries. It stresses the potential of annual funds to attract new and regular donors for the library and the institution. References [16].

Paustenbaugh, Jennifer Ford. *ARL Academic Library Participation in Capital/Comprehensive Fund-Raising Campaigns: An Analysis of Effectiveness and Capacity*. Ph.D. dissertation. Indiana University, 1999.

The author establishes two methods of assessing effectiveness in capital campaigns, which include analysis of institutional and library data. Highly effective libraries were well integrated within their respective institutions' development activities. The 400-page dissertation includes an extensive literature review encompassing not only library, but also general fundraising literature. References [200+].

Rader, Hannelore B. "Fundraising in Academic Libraries: The United States Experience." *The Bottom Line* 13, no. 2 (2000): 93–99.

After a review of the current financial environment for academic libraries, the author briefly describes a variety of creative fundraising programs at various academic libraries. She illustrates entrepreneurial fundraising using examples that make use of consortia, corporate partners, and fee-based services.

Reiss, Alvin H. "A Donor Reflects on an Arts Contribution." *Fund Raising Management* 27, no. 8 (1996): 36–38.

In this unique article, a donor describes his process in choosing which library would receive his archives. While his gift was not monetary, his reflections on how he wanted his donation to be maintained and made available to students provides a perspective from "the other side of table," a rarity in fundraising literature. Ultimately, he donated his archives to the Fine Arts Library of the Wexner Center for the Arts at Ohio State University. This article demonstrates the value of looking for library anecdotes in fundraising literature in order to get a fresh perspective.

Russell, Ralph and Leslie S. Hough. "Fund-raising in an Academic Library: A Test Case." *The Georgia Librarian* 27 (Fall 1990): 71–72.

This case study detailing how Georgia State Library began its Library Endowment Fund describes small-scale activities and documents the humble beginnings of library fundraising. It describes activities aimed at raising more sizable gifts for the Special Collections Department.

Simon, Matthew. "Fundraising as a Small Business Enterprise." *The Bottom Line* 10, no. 2 (1997): 107–11.

The author offers a counterpoint to the commonly offered advice to focus on major gifts. He provides a plan for sustained, modest fundraising using a business plan model with time frame, cost analysis, and task delegation. References [4].

Smith, Amy Sherman. "ALADN: A New Network for Fundraising." *College and Research Library News* 5 (May 1995): 329.

This article documents the announcement and background on formation of ALADN (Academic Libraries Advancement and Development Network), a new independent development organization.

Smykla, Evelyn Ortis, comp. *Marketing and Public Relations Activities in ARL Libraries*. SPEC Kit 240. Washington, D.C.: Association of Research Libraries, 1999.

This compilation includes representative documents on planning, capital campaigns, gifts, special events, and newsletters. Data about the role of the public relations/marketing staff and their responsibilities for development activities are presented. References [10].

St. Clair, Gloriana. "Library Development: Every Employee's Job." *Journal of Academic Librarianship* 24, no. 1 (1998): 1–2.

Based on experience at the Penn State Libraries, especially working with major donors, the author provides suggestions for identifying prospects and involving many library employees, from archivists to catalogers.

Steele, Victoria. "Of Sherpas and Mountain Climbers: The Special Collections Librarian in the Library Development Process." *Rare Books and Manuscripts Librarianship* 9, no. 2 (1994): 77–85.

Steele emphasizes the critical relationship between development staff and librarians. Development staff must serve as guides in the process, while librarians must take on leadership roles. The special collections librarian can assist the director in defining mission and cultivating donors.

Steele, Victoria. "The Role of Special Collections in Library Development." *Library Fundraising: Models for Success*. Dwight F. Burlingame, ed. Chicago: American Library Association, 1995. 72–84.

The head of special collections can serve effectively on the development team in tandem with its leader, the library director. Donor cultivation, Friends liaison, and identification of development priorities are important functions in which the head of special collections may play a part. Steele reiterates her theory that the library director leads the development process, but that the special collections head can play a pivotal role if the chemistry is right. She reviews USC Libraries' Scripter Awards and her involvement in this special event in her capacity as head of special collections.

Steele, Victoria and Stephen D. Elder. *Becoming a Fundraiser: The Principles and Practice of Library Development*. Chicago: American Library Association, 1992.

Steele, Victoria and Stephen D. Elder. *Becoming a Fundraiser: The Principles and Practice of Library Development*. 2nd edition. Chicago: American Library Association, 2000.

Any research or preparation for library development should include this influential work. Steele and Elder emphasize the critical role played by the library director in any fundraising effort, as well as the undeniable effect of personality on the process. The second edition, published in 2000, is essentially unchanged. References [10].

Strand, Bobbie J. "Finding and Researching Major Donor Prospects.“ *Library Development: A Future Imperative*. Dwight F. Burlingame, ed. Special issue of *Journal of Library Administration* 12, no. 4 (1990): 53–72.

When published in 1990, this article provided relevant reference information for donor profiling, but it is now dated. There is no mention of the need to coordinate with centralized development offices on constituent identification.

Sumerford, Steve. "Careful Planning: The Fundraising Edge." *North Carolina Libraries* 53, no. 1 (Spring 1995): 3–5.

Although the twelve planning steps for fundraising projects focus on public libraries, Sumerford's general suggestion to frame the case with the needs and interests of constituents bears repeating. References [2].

Taylor, Merrily E. "It's Hard to Make New Friends: What to Think About in Creating a Friends of the Library Group." *Library Trends* 48 (Winter 2000): 597–605.

Taylor reviews factors that must be considered in the foundation of a Friends group, so its purpose, particularly its role in development, is clearly defined. The article offers examples of specific academic libraries' decisions on a range of considerations. References [4].

Vest, Dennis F. "The Library Financial Development and Advancement Specialist." *Using Consultants in Libraries and Information Centers*. Edward Dale Garten, ed. Westport, Conn: Greenwood Press, 1992.

A professional fundraiser describes how a consultant can be used to create or advance a small- or medium-sized library's development program. It includes guidelines in hiring and orienting a consultant.

Waters, Richard Lee. "The Literature of Fund Raising." *Public Library Quarterly* 17, no. 1 (1998): 57–58.

Waters announces a new column on fundraising that will appear regularly in PLQ. Future columns may contain book reviews, grants, announcements, and other related news relevant to public and academic librarians.

Wedgeworth, Robert. "Donor Relations as Public Relations: Toward a Philosophy of Fund-raising." *Library Trends* 48 (Winter 2000): 530–39.

The author emphasizes the critical role of donor cultivation yet cautions against losing autonomy to restricted major gifts that do not match fundraising goals. Fundraising is described as just one activity of institutional development or advancement. References [9].

Wilkinson, Janet. "Library Fundraising Techniques: A Study Based on a Tour of North American Libraries During July 1993." *British Journal of Academic Librarianship* 8, no. 3 (1993): 178–92.

The author observed development practice in 13 academic and public libraries during a study tour in July 1993. She describes common fundraising methods (major gifts, special events, etc.) and causes (new buildings, conservation/preservation, etc.). While specific libraries are not described, an overview of current practices is provided; New York Public Library's development accomplishments are given a general summary. References [12].

Wilkinson, Janet. "Fundraising for University Library Development: The Case of the London School of Economics." *New Review of Academic Librarianship* 4 (1998): 133–46.

Between 1993–1998, the British Library of Political and Economic Science of London School of Economics raised 12 million pounds, with approximately 30 percent from private individuals, using North American library development models. It describes the unprecedented British process to raise the sum to construct a state-of-the-art library for the LSE. Efforts at establishing relationships with centralized development office, developing a case for support, and soliciting donations are described. Wilkinson compares her experience with the fundraising experiences of North American academic libraries. References [2].

Willis, Paul A. "Building and Endowment Campaigns: A $20 Million Effort at the University of Kentucky Library." *Fundraising for the 1990s: The Challenge Ahead: A Practical Guide for Library Fundraising from Novice to Expert*. Hwa-Wei Lee and Gary A. Hunt. Canfield, OH: Genaway & Associates, 1992. 90–96.

The author discusses the start of University of Kentucky's capital campaign with a goal to raise $20 million for a new library building and endowed collections. The author also describes the role of major donors on the development team.

Recommended monographs and periodicals from fundraising and philanthropy and other subject areas

Published in 1990 or later, each title is recommended or referenced by at least one source listed in the annotated bibliography of academic library fundraising. These works are not annotated but are provided as resources for further study.

AAFRC Trust for Philanthropy. *Giving U.S.A.* New York: AAFRC. Annual.

Advancing Philanthropy, National Society of Fund Raising Executives. Quarterly.

Barrett, Richard D. and Molly E. Ware. *Planned Giving Essentials: A Step by Step Guide to Success*. Gaithersburg, MD: Aspen Publishers, 1997. 166 pp.

Burlingame, Dwight F. and Lamont J. Hulse. *Taking Fund Raising Seriously: Advancing the Profession and Practice of Raising Money*. San Francisco: Jossey-Bass, 1991. 294 pp.

Chronicle of Philanthropy, Chronicle of Higher Education. Biweekly.

Dove, Kent E. *Conducting a Successful Capital Campaign*. 2nd edition. San Francisco: Jossey-Bass, 2000. 510 pp.

Edles, L. Peter. *Fundraising: Hands-on Tactics for Non-Profit Groups*. New York: McGraw-Hill, 1993. 288 pp.

Fund Raising Management, Hoke Communications. Monthly.

Grassroots Fundraising Journal, Chardon Press. Bimonthly.

Greenfield, James M. *Fundraising: Evaluating and Managing the Fund Development Process*. 2nd ed. New York: J. Wiley & Sons, 1999. 428 pp.

Kelly, Kathleen S. *Effective Fund-Raising Management*. Mahwah, NJ: Lawrence Erlbaum Associates, 1998. 663 pp.

Kelly, Kathleen S. *Fund Raising and Public Relations: A Critical Analysis*. Hillsdale, NJ: Lawrence Erlbaum, 1991. 539 pp.

Kihlstedt, Andrea and Catherine P. Schwartz. *Capital Campaigns: Strategies That Work*. Gaithersburg, MD: Aspen Publishers, 1997. 232 pp.

Lowenstein, Ralph L. *Pragmatic Fund-Raising for College Administrators and Development Officers*. Gainesville: University of Florida Press, 1997. 132 pp.

Nadler, Gerald and Shozo Hibino. *Breakthrough Thinking: Why We Must Change the Way We Solve Problems and the Seven Principles to Achieve This*. Rocklin, CA: Prima Publications and Communications, 1990. 350 pp.

Peppes, Don and Martha Rogers. *The One-to-One Future: Building Relationships One Customer at a Time*. New York: Currency Doubleday, 1993. 441 pp.

Price, Russ Alan and K. M. File. *The Seven Faces of Philanthropy: A New Approach to Cultivating Major Donors*. San Francisco: Jossey-Bass, 1994. 219 pp.

Rosso, Henry A. *Achieving Excellence in Fund Raising: A Comprehensive Guide to Principles, Strategies, and Methods*. San Francisco: Jossey-Bass, 1991. 319 pp.

Tannen, Deborah. *You Just Don't Understand: Women and Men in Conversation*. New York: Ballantine, 1991. 330 pp.

Williams, M. Jane. *Big Gifts: How to Maximize Gifts from Individuals, With or Without a Campaign*. New York: The Taft Group, 1991. 330 pp.

Recommended Websites

ALADN

Homepage of the Academic Library Advancement and Development Network

<http://dizzy.library.arizona.edu/aladn/>

The site includes the history of the organization and links to annual conference information. There are instructions on subscribing to its LIBDEV listserv as well as a link to search its archives that date from February 1995. Contributors to the list are well-known names in the field.

American Library Association's Library Administration and Management division Fund Raising and Financial Development section (LAMA FRFDS)

<http://www.ala.org/lama/committees/frfds/index.html>

The structure and organization of the FRFDS section are explained. The Resources and Activities link leads to instructions to subscribe to the FRFDS-L listserv (much less active and informative than ALADN's) and to two electronic publications, "Choosing and Using a Fundraising Consultant—A Bibliography" (Jennifer Paustenbaugh, February 1997) and "Selected World Wide Web Sites for Library Grants and Fund-Raising" (Penny Kyker, November 1998).

ARL OLMS/DORAL

Management Skills Institute for Library Development Officers

<http://www.arl.org/training/doral.html>

Information regarding the OLMS/DORAL Management Skills Institute for Library Development Officers is located here. The most recent workshop was offered in May 2000.

Association of Fundraising Professionals

(Formerly known as the National Society of Fund Raising Executives)

<http://www.nsfre.org/>

Portions of the site are available to nonmembers. The link <http://www.nsfre.org/resource_center> leads to research assistance on fundraising issues and best practices.

Center on Philanthropy at Indiana University

<http://www.philanthropy.iupui.edu/>

The site includes the calendar of workshops for the Fund Raising School. From the Fund Raising School link, there is an extensive annotated bibliography covering general fundraising principles and specific programs such as capital campaigns and telephone solicitation. The Philanthropy Links section links to fundraising consultants and foundation centers.

Chronicle of Philanthropy: Newspaper of the Nonprofit World

<http://www.nonprofit.com/>

Many, but not all, sections of the recent online issue are browsable by nonsubscribers. The site includes a feature entitled Internet Resources with subject arranged listings of links. It includes a link to information for donors.

Online Fundraising Resources Center

<http://www.fund-online.com/>

This site is maintained by Adam Corson-Finnerty and Laura Blanchard, authors of *Fundraising and Friendraising on the Web*. Corson-Finnerty's ongoing series of essays, "Cybergifts," is posted. Sites considered "cool" are linked; none are academic library sites, but are almost exclusively nonprofits or .edu sites that have attractive and effective websites. For more from Corson-Finnerty, go to his personal web page at <http://pobox.upenn.edu/~corsonf/> for additional essays on library fundraising.

[each link verified as of September 21, 2001]

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